

North Carolina 21st Century Community Learning Centers Program



STANDARD OPERATING PROCEDURES MANUAL SUB-GRANTEE MONITORING



Public Schools of North Carolina
State Board of Education | Department of Public Instruction

STANDARD OPERATING PROCEDURES MANUAL
North Carolina 21st Century Learning Centers (21st CCLC) Program
Sub-Grantee Monitoring

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STANDARD OPERATING PROCEDURES MANUAL North Carolina 21st Century Learning Centers (21st CCLC) Sub- Grantee Monitoring

INTRODUCTION

As authorized under Title IV, Part B of the Elementary and Secondary Education Act (ESEA), the 21st Century Learning Centers (CCLC) program supports the creation of community learning centers that provide academic enrichment opportunities (i.e., before, during and/or after-school programming) for children, particularly students who attend high-poverty and low-performing schools. The program helps students meet state and local student standards in core academic subjects, such as reading and math; offers students a broad array of enrichment activities that can complement their regular academic programs; and offers literacy and other educational services to the families of participating children.

Formula grants are awarded to state educational agencies, which, in turn, manage statewide competitions and award grants to eligible entities. For this program, “eligible entity” can mean a local educational agency, community-based organization, another public or private entity, or a consortium of two or more such agencies, organizations, or entities.

PURPOSE

Federal and State policy requires that the North Carolina Department of Public Instruction (NCDPI), which serves as the State Education Agency (SEA) for the 21st CCLC Grant, monitors the quality and effectiveness of programs operating with the use of those federal funds. In addition, monitoring is conducted to ensure the sub-grantees’ ongoing compliance with Federal and State requirements and alignment with the implementation plan described in their approved grant proposal. Finally, monitoring also provides a means to identify program areas that require additional support and technical assistance from the SEA.

OVERVIEW

TYPES OF MONITORING AND THE RISK ASSESSMENT ANALYSIS

The Federal Program Monitoring and Support Division at the North Carolina Department of Public Instruction (NCDPI) engages in the following four types of monitoring:

1. Comprehensive Program Monitoring Review
2. Fiscal Monitoring Review
3. Desk Review
4. Program Quality Review

The 21st CCLC Program Administrators at NCDPI conduct an annual risk assessment analysis to determine what level or type of monitoring to conduct with each program. The annual needs assessment includes the following factors in order of priority:

1. Program in first year of operation
2. Program and/or fiscal compliance concern noted during desk review or Program Quality Review:
3. Programs which had compliance findings from Comprehensive Program Monitoring Review during the prior program year:
4. Programs which had compliance findings on 21st CCLC Fiscal Monitoring Procedures Report completed the prior year; or
5. Program did not receive a Comprehensive Program Monitoring Review during the prior program year.

After completing the analysis of the risk assessment factors above, the 21st CCLC Program Administrators enter the monitoring status of each operating program to whom they are assigned for that respective year on the 21st CCLC Risk Analysis spreadsheet (Appendix A). In addition, the Program Administrators use the tool to enter and submit prospective dates for the onsite visits to occur that year to the 21st CCLC Section Chief for approval. Once the Section Chief approves the risk assessment and monitoring schedule, a copy of the spreadsheet is filed with the Division Director. The spreadsheet is stored in a shared online folder and the data is updated by the Program Administrators throughout the year as necessary to reflect the most accurate record of the monitoring calendar.

Regardless of a pending review from NCDPI, the sub-grantee must ensure appropriate documentation is maintained at each site. When the fiscal agency office is at a location other than the program site, fiscal records may be maintained at the alternate fiscal offices. However, fiscal records must be available for review as requested by NCDPI. At all times, sub-grantees should have documentation available to verify compliance with any performance aspect of the 21st CCLC program, and all documentation with the personally identifiable information of students, parents, or staff must be maintained to ensure security and confidentiality.

COMPREHENSIVE PROGRAM MONITORING REVIEWS

The Comprehensive Program Monitoring Review (CPMR) protocol represents NCDPI's most thorough approach to assess the sub-grantee programs' compliance with Federal and State regulations as well as the programs' overall performance toward meeting the goals identified in their approved 21st CCLC Grant proposal. The CPMR process requires NCDPI to conduct onsite visits of the sub-grantee programs, and it is designed to document whether the program demonstrates adequate performance across the following compliance strands:

1. Program Management
2. Program Implementation
3. Family and Community Engagement
4. Federal/State/Local Statute
5. Fiscal Management

NCDPI may conduct announced or unannounced CPMR visits. However, the monitoring instrument and report templates as well as other resources to support the monitoring process are shared well in advance of the first scheduled visit, and a copy of those resources, including this Standard Operating Procedures document, are readily available on NCDPI's 21st CCLC website, www.ncpublicschools.org/21cclc/monitoring/. Moreover, those same resource materials are included in the appendices of this document. Among those resources is a document called *21st CCLC Comprehensive Program Monitoring Review Work Flow*, which provides a general chronological overview of a CPMR site visit (Appendix B). There are several detailed steps involved, but the process can be broken down into three distinct phases, 1) planning, 2) field work, and 3) report.

Planning Phase

During the planning phase of an announced visit, NCDPI Program Administrators plan the logistics of the visit with the sub-grantee and provide additional clarity regarding compliance indicators at the request of the sub-grantee, and the Program Administrator will offer suggestions on how to most efficiently organize the documentation for the upcoming visit. The *21st CCLC Documentation Guide* serves as a particularly strong resource for sub-grantees planning for an upcoming CPMR visit (Appendix C).

Field Work Phase

During the field work phase of the monitoring process, the monitor (NCDPI 21st CCLC Program Administrator) travels to the sub-grantee site to observe the operation of the local 21st CCLC program and to monitor sub-grantee compliance. While on the CPMR site visits, the NCDPI monitors utilize the *21st CCLC Comprehensive Program Monitoring Instrument* as a guide to test sub-grantee compliance in thirty-one (31) specific performance indicators which fall under the five aforementioned compliance categories (Appendix D). In order to gauge the sub-grantee program's performance, NCDPI Program Administrators observe the direct delivery of services to students, review evidentiary documentation, and interview key stakeholders engaged in the sub-program's operation, including students, program staff, parents/guardians, and possibly, community partners, when available. In addition, the monitor notes if there appears to be any potential fiscal compliance concerns which might require additional investigation through the 21st CCLC Fiscal Procedures Monitoring protocol, which will be described in detail later in this document.

For each performance indicator, the CPMR Instrument is designed to assist the NCDPI monitors in determining whether the documented efforts of the sub-grantee provides adequate data to demonstrate it "meets (compliance) requirements." If available documentation shows the sub-grantee's current processes or procedures directly conflict with compliance requirements, or if there is a lack of available documentation to satisfy minimal compliance standards for a particular performance indicator, NCDPI identifies that indicator as having a compliance "finding," or possibly, multiple "findings."

During the onsite visit, the monitor might note the sub-grantee has provided enough documentation to meet a particular indicator's performance standard, but could enhance overall program or operational effectiveness by making minor and feasible adjustments. In

those instances, the monitor would determine the sub-grantee “meets requirements with recommendations” and subsequently provide feedback as to how the sub-grantee might expand or modify its efforts in that area to yield the best result for the program.

At the end of the CPMR visit, the NCDPI monitor holds a closure conference with the Program Director and/or other relevant stakeholders from the sub-grantee organization to verbally communicate any program strengths observed during the visit as well as any immediate compliance concerns or recommendations for improvement. The purpose of the closure conference is to provide general feedback about the program’s overall compliance status until NCDPI completes the final review of the documentation from the visit and provides a formal written report summarizing the sub-grantee’s current compliance status. The closure conference is the last step in the field work phase of the CPMR protocol unless the monitor requests additional data from the sub-grantee prior developing the formal report.

Report Phase

The report phase of the CPMR process occurs after the site visit has been completed and encompasses all necessary communication or activity between NCDPI and the sub-grantee until NCDPI is able to document the sub-grantee satisfactorily demonstrates compliance on each of the thirty-one (31) performance indicators included in the CPMR protocol. While NCDPI uses the 21st CCLC Comprehensive Monitoring Instrument to record the raw data gathered on the monitoring visit, NCDPI employs the 21st CCLC Comprehensive Program Monitoring Review (CPMR) Report to provide the sub-grantee a written summary of the visit’s compliance results (Appendix E). The structure of the monitoring report is directly aligned to that of the instrument, but instead of raw data or notes for each indicator, the report summarily states whether the sub-grantee meets requirements, meets requirements with a recommendation, or has a finding(s) for that indicator. At the end of the report, there is a narrative section where the monitor provides additional information about any indicators not designated as “Meets Requirements.” The resource document *How to View the 21st CCLC Comprehensive Program Monitoring Review Instrument and the Comprehensive Program Monitoring Review Report* assists sub-grantees to establish a better understanding of the utility of the CPMR Instrument and CPMR Report (Appendix F). During the report phase, the monitor reviews all the relevant and available data from the monitoring visit and completes a draft of the CPMR Report.

Once the monitor has completed an initial draft of the report, he or she forwards it to the 21st CCLC Section Chief and Administrative Assistant via email with the following four items regarding the visit:

1. Draft of CPMR Instrument
2. Draft of CPMR Report
3. Draft of cover letter for the report
4. Email addresses of the Program Director and the Chief Administrator or designee associated with the sub-grantee organization

The 21st CCLC Section Chief reviews the report and seeks clarification or makes edit suggestions as necessary. Once the Section Chief approves the report, he directs the Administrative Assistant to email the monitoring report and cover letter to the sub-grantee

Program Director and/or Fiscal Agent Organization Representative, as well the 21st CCLC Program Administrator who served as monitor on the visit. Typically, the final draft of the CPMR Report to the sub-grantee is mailed within thirty (30) business days of the monitoring visit.

NCDPI does not require the sub-grantee to provide a written response for any indicator marked “Meets Requirements with Recommendations.” However, in those instances, the monitor uses the narrative section at the end of the report to describe how the sub-grantee currently adequately meets the compliance standard and provides specific written suggestions for how the sub-grantee might make minimal and practical adjustments to its operational practice in that area to positively impact program effectiveness.

When a monitor concludes the sub-grantee has a compliance finding on an indicator, he or she communicates the appropriate “required action” for the sub-grantee to satisfactorily accomplish in order to demonstrate minimal compliance on that indicator. Within ten (10) business days of receiving the monitoring report, the sub-grantee must provide a written response to each finding to demonstrate the required action had already occurred since the visit or submit a specific action plan to complete the required action as soon as possible.

When the final draft of the monitoring **report** contains no compliance findings, the 21st CCLC Section Chief will trigger the Administrative Assistant to forward a standard formal closing letter to the sub-grantee along with a copy of the CPMR Report to document the program’s current state of general compliance (Appendix G). However, if there are compliance findings on the report, the Administrative Assistant will forward a copy of the report the sub-grantee with a different cover letter which explicitly directs the sub-grantee to respond to the report in writing within ten (10) business days and to provide evidence the required action prescribed by NCDPI has been addressed (Appendix H).

If the sub-grantee’s written response is not satisfactory or incomplete, the 21st CCLC Program Administrator provides feedback via email and phone to communicate which aspects of the sub-grantee response remain inadequate or to further explain the required action needed to demonstrate compliance. Upon receipt of the follow-up feedback from NCDPI, the sub-grantee has five (5) business days to provide the additional information.

The response-feedback exchange between NCDPI and the sub-grantee repeats as necessary until the program response demonstrates compliance and NCDPI sends the sub-grantee the standard closing letter referenced earlier. If the lack of a satisfactory response persists, the 21st CCLC Program Administrator will consult with the 21st CCLC Section Chief to potentially explore a more aggressive course of action, such as freezing the sub-grantee’s access to the 21st CCLC funds.

Maintenance of Data

The NCDPI Program Administrator saves electronic documentation related to all three phases of the CPMR process in an online folder via Dropbox with shared access by the 21st CCLC Program Administrator Team, 21st CCLC Section Chief, Administrative Assistant, and Division Director. During the planning phase, the Program Administrator initiates the completion of

the 21st CCLC Tracking Form, a resource used to document key steps in the monitoring visit process (Appendix I). The shared online folder is organized in the following progression: 1) program year, 2) individual 21st CCLC Program Administrator, and 3) individual sub-grantee name and unit number.

Each NCDPI Program Administrator manages the online monitoring folder for each of sub-grantee program assigned to them by the 21st CCLC Section Chief. Within each sub-grantee

Dropbox folder, there are four standard subfolders—Planning, Field Work, Report, and Other-Post Visit/Miscellaneous.

The purpose of the “Other-Post Visit/Miscellaneous” folder is to document any other unique data regarding the sub-grantee which falls outside of the context of the visit. For example, that folder might include program promotional materials or sample documents shared by the program to demonstrate continued compliance or program effectiveness in areas that may have incurred a finding during the most recent desk or onsite monitoring. The Program Administrator may also file data in that folder to demonstrate his or her technical assistance efforts or copies of emails he or she sent to the sub-grantee requesting additional program data for the purpose of a desk review.

The resource document called Dropbox--What Goes Where offers a visual representation of the monitoring folder’s expected organization and content (Appendix J).

FISCAL MONITORING REVIEWS

Since 2013, NCDPI has contracted with an independent audit firm through a state convenience contract to conduct on-site fiscal monitoring reviews utilizing the Fiscal Review (FR) instrument developed by NCDPI. (Appendix K) During the on-site review process, the monitor reviews source documentation and tests the sub-grantee’s fiscal procedures for the entire fiscal year in areas such as payroll, time and effort reporting, expenditure accounting, inventory, adherence to indirect cost rates, etc. In addition, the monitor informally provides technical assistance by discussing findings with the sub-grantee programs.

Once the audit firm performs the standard supervisory review of the monitoring instrument (i.e., work papers), the completed monitoring instrument is emailed to NCDPI. The notes in the monitoring instrument are reviewed by the NCDPI Fiscal Monitor and develops a monitoring report. The completed fiscal monitoring report is emailed to the Section Chief for supervisory review. Once the Section Chief approves the report, he directs the Administrative Assistant to email the monitoring report and cover letter to the sub-grantee Program Director and/or Fiscal Agent Organization Representative, as well the 21st CCLC Program Administrator who served as monitor on the visit.

Similar to the CPMR protocol, if the fiscal review process results in no compliance findings, the sub-grantee is not required to provide a response, and the Administrative Assistant distributes a closing letter along with the report. However, if there are compliance findings identified, the sub-grantee must respond in writing to NCDPI within ten (10) business days of receipt of

the report to demonstrate the required action had already been addressed or submit a specific action plan to complete the required action as soon as possible.

The State may freeze funds at any time that non-compliance with state and federal requirements is demonstrated. Funds that have been determined to be overpaid or used for unallowable costs are requested for repayment through a letter of demand. After not less than two letters of demand are issued, the repayment process is turned over to the State Attorney General's office and organizations are permanently debarred from receiving federal grants.

In all cases where there are issues that prohibit the sub-grantee from administering the 21st CCLC program within requirements, sub-grantees are first provided with technical assistance by NCDPI staff to correct areas of non-compliance and support full program implementation as described in the approved proposal. If technical assistance efforts do not result in full compliance, NCDPI may recommend a termination of the 21st CCLC grant to the SBE, in whole or in part, to a sub-grantee before the end of the grant period if the sub-grantee has 1) materially failed to comply with the terms and conditions of the grant; 2) failed to comply with SBE policies; or 3) failed to comply with state or federal law. Grant termination must adhere to procedural due process guarantees.

All steps within the fiscal monitoring process are logged into a tracking log. The following table provides additional details regarding the workflow of fiscal monitoring.

Tracking Log	Fiscal Monitoring Procedures
Date CB Report Received	CB sends work papers (i.e., the completed monitoring instrument) to NCDPI Fiscal Monitor copied to Supervisor.
Date Discrepancy Documented	Fiscal Monitor reviews work papers and enters appropriate Follow Up to Corrective Action on the Monitoring Program tab in the monitoring instrument (i.e., Excel file).
Status	Fiscal Monitor logs into the tracking log as Compliant or Non-compliant.
Supervisory Review as of Date	Supervisor reviews tracking log weekly and completes Supervisory Review. Supervisor forwards the report to Administrative Staff who enters the date Supervisory Review has been completed and report is ready to issue.
Date Unit Emailed	Administrative Staff attaches a cover letter with the report and emails sub-grantee. Administrative Staff enters the date the report is emailed to sub-grantee.
Number of days-receipt to email	The tracking log auto-calculates the number of days from date discrepancy is documented to date unit emailed (internal tracking purposes only).
Date to Return	Once emailed report is sent to sub-grantee, Administrative Staff enters the date the response to corrective actions is due.
Date Returned	Sub-grantee responses are emailed to Administrative Staff who enters date responses are returned to NCDPI and forwards responses to Fiscal Monitor and copies to Supervisor.
Number of days-sent to return	The tracking log auto-calculates the number of days from report being sent to return of responses (internal tracking purposes only). Administrative Staff monitors the status of responses and sends reminders to sub-grantee as needed.
Date Closing Letter Sent	Fiscal Monitor reviews responses from sub-grantee and sends to Supervisor. Supervisor emails Administrative Assistant to issue the closing letter.

DESK REVIEWS

Desk reviews are conducted throughout the period of the grant and may include review of programmatic and budget amendments aligned to the sub-grantee's approved project proposal, review of attendance data, and review of other data collection and reporting. Sub-grantees are encouraged to maintain complete and accurate documentation should NCDPI call for a particular document or evidence.

The primary means of data collection is through the web-based grants management system, the Consolidated Continuous Improvement Plan (CCIP). Sub-recipients utilize the online system to submit the original request for proposal as well as continuation applications in subsequent years. Program Administrators may periodically request additional information to support desk reviews on relevant items such as sub-grantee expenditure reports, lesson plans, sustainability plans, equipment inventories, documentation from parent engagement events, revised program schedules, or other related documentation related to the program's daily operation.

As a requirement in the initial grant application and a prerequisite for the grant award each year of the awarded cycle, all sub-grantees must develop, maintain, and submit a copy of their local written fiscal procedures. In addition, the embedded procedures must align with Educational Department General Administrative Regulations (EDGAR) and the 21st CCLC Fiscal Guidance developed by NCDPI. The Fiscal Guidance document is also publically available on the NCDPI website, www.ncpublicschools.org/21cclc/resources/fiscal/.

In addition, the 21st CCLC Fiscal Monitor and Section Chief also use desk reviews to monitor program reimbursement requests against its associated fiscal documentation to ensure that sub-grantees are appropriately accounting for the program expenditures. When sub-grantees submit fiscal documentation to NCDPI, Administrative Staff posts the data in shared but secure network drive, for which a server login is required to access. Administrative Staff sends weekly a list of the date of transmission by sub-grantee to the NCDPI Fiscal Monitor, Section Chief, and Program Administrators. When available, the Fiscal Monitor or Section Chief reviews the list and selects randomly at least one sub-grantee files to review. These reviews are not in detail, but a review to see if documents are provided or if the fiscal procedures are being followed with fidelity.

The Fiscal Monitor reviews a sampling of the fiscal reconciliation and corresponding documentation associated with cash reimbursement requests. The sample may be randomly selected by the Fiscal Monitor or selected at the request of the State Coordinator or one of the Program Administrators based on risk identified through on-site reviews, budget reviews, or external complaints. The detailed review generally takes two or three days to complete, and the Fiscal Monitor provides the requestor feedback about the documentation and whether an on-site Fiscal Monitoring Procedures Review is warranted.

Fiscal Accountability

The Uniform Education Reporting System (UERS) is the required accounting system specification and process designated by the state to help ensure uniform, standard and

accurate reporting of fiscal data on the use of funds. The fundamental objective of the UERS is to provide a simple process of reporting expenditures in a public education environment. All grant recipients are required to adhere to the UERS accounting system expectations in the following focused areas:

1. Chart of Accounts -- The Financial Business Division assigns all funding streams (whether federal, state, or local) to their own unique Program Report Code (PRC). The 21st CCLC Grant is identified as PRC 110. Each PRC has a unique Chart of Accounts (COA) to document which purpose or object codes in the budget system represent allowable expenditures according to the requirements of that particular fund source. The Federal Program Monitoring and Support Division is responsible for approving the COA for PRC 110 on an annual basis.
2. Budget Approval -- Although the 21st CCLC Grant is awarded based on the quality of the sub-grantee proposals, each program must have its annual budget approved by the SEA program staff prior to the release of PRC 110 funds.
3. Allotment Installments – In each year of the grant cycle, funds are allotted in three installments based on the grantee’s demonstration of sufficient progress toward enrollment goals and other operational compliance as follows:
 - Initial allotment equal to 34% of total approved grant award;
 - Second allotment equal to 34% of the total approved grant award for 50% enrollment goal met; and
 - Final allotment equal to 32% of the total approved grant award for 75% enrollment goal met.

If at any time during the first year or in subsequent years of renewal it is determined that enrollment goals or other compliance areas are not sufficiently met to support the total approved grant award, NCDPI may reduce the annual award. However, if the sub-grantee is able to provide sufficient documentation to demonstrate growth in attendance, the program may still be eligible for the grant award for subsequent years in the cycle.

4. Electronic Transfer of Funds – Once the budget is approved and the allotment is released, the grant funds are deposited directly in the sub-grantees’ bank accounts via electronic transfer through a program offered by the Department of State Treasurer. Every fiscal agent that is not a local educational agency (non-LEA) must complete this State Treasurer’s form. The State assigns a unique banking vendor number and process the form with the State Treasurer’s Office.
5. Reimbursement Process and the Cash Management Systems --- In North Carolina, the 21st CCLC Grants are distributed through a reimbursement process. LEAs and charter schools access funds through the Budget and Amendment Approval System (BAAS) that interfaces with the Cash Management System. The Cash Management System



produces a report and generates entries to external General Ledger (GL) and North Carolina Accounting System (NCAS). The NCDPI Cash Management Section draws the funds down per the report. LEAs are already set-up to submit documentation and receive reimbursements through BAAS.

Non-LEAs report their expenditures into the Expenditure Reporting and Cash Application (ERaCA) system to request cash reimbursement. As of January 2013, non-LEAs are required to register for a North Carolina Identity Management (NCID) account to access ERaCA. The NCID system verifies the identity of the user and authorizes specific rights within ERaCA. After non-LEAs login with their NCID credentials, the ERaCA system determines whether they have the authority to request reimbursement and will not let them request more than their respective balances.

Each 21st CCLC program that requests cash reimbursement through the ERaCA electronic process must submit copies of documentation for expenditures to the NCDPI based on the COA for PRC 110. Reconciliation and corresponding documentation must be aligned to the ERaCA submissions within seven (7) days of the cash request submission. The ultimate purpose of these submissions is to verify that there is proof of payment for the requested reimbursement. Sub-grantees submit copies of documents, not originals, which include:

- Date(s) reimbursement funds were accessed via ERaCA
- Invoices indicating date paid, check number, and line item charged
- Payroll registers including employee job title, rate of pay, and pay period
- Paid receipts
- Type of reimbursement
- Bank statements indicating cancelled checks
- Credit card statements
- Other documents as needed to match cash requests for the ERaCA submission

While a sampling of the document submissions are periodically reviewed, this data collection primarily serves as a deterrent measure of monitoring opposed to a detective measure as performed during the on-site fiscal monitoring reviews.

Both LEA and non-LEA 21st CCLC sub-grantees are required to maintain up-to-date and accurate fiscal expenditure and reimbursement documentation that includes:

- Signed certified time/effort sheets by both employee and supervisor
 - Evidence of payroll by pay period which may include cancelled checks or electronic transfers
 - Dated invoices aligned to approved budget line items
 - Evidence of all paid expenditures, including the date funds were accessed to reimburse the expenses
6. Budget Amendments -- Budget amendments may be submitted anytime during the approved grant period. Budget amendments along with appropriate justification narrative and programmatic change (if applicable) are sent to the NCDPI 21st CCLC

7. Program Administrator for review and approval. NCDPI staff verifies that the request meets the requirements of the grant. Local school administrative units (LEAs) and public charter schools are expected to receive approval in the Budget and Amendment System (BAAS). Non-LEAs receive budget approval using the appropriate NCDPI forms, FPD 208 for initial budgets and FPD 209 for amendments.
8. Fiscal Reporting Requirements -- In addition and as per federal guidelines, all sub-grantees in North Carolina are required to register and annually update the account with the federal System for Award Management (SAM) electronic database. The fiscal agency that applied for and was awarded the grant is the entity that is required to register in SAM. A Dun and Bradstreet D-U-N-S number and tax identification number (EIN or TIN) are required. To demonstrate compliance, all non-LEA sub-grantees must submit the D-U-N-S number annually to NCDPI.

All non-LEA sub-grantees are required to annually complete the reporting requirements to NC Grants (General Statutes of North Carolina 143C-6.23). This reporting is completed electronically on <http://ncgrants.gov/>. Through NC Grants, grantees file required reports online and state agencies monitor and review grantees for compliance with state requirements.

There are three levels of reporting. The reporting level and timeline for a grantee is determined by the amount of federal and state monies received. For level one and two, reports are due six months after the sub-grantee's fiscal year ends. For level three, reports are due nine months after the grantee's fiscal year end. Failure to comply with reporting requirements will place the sub-grantee's 21st CCLC grant funds in suspension.

9. Audit Requirements -- All LEA and Charter Schools grantees are required to submit an audit each year of their financial statements, not later than October 31st, to the Local Government Commission (LGC) of the Department of State Treasurer. The 21st CCLC program, as with all state and federal grants, is subject to audit testing within the scope of the required audit as determined by the auditor. The audit shall be conducted by a Certified Public Accountant (CPA) that has been approved and certified by the LGC as qualified to audit local government accounts. The audits must be performed in accordance with Generally Accepted Auditing Standards (GAAS) and the financial statements must be prepared in conformity with Generally Accepted Accounting Principles (GAAP). In addition, all non-LEA entities are required to have an independent audit conducted by an independent CPA when the annual fiscal year total of all federal funds reaches \$750,000. Audit reports are submitted through the NC Grants system and reviewed by NCDPI staff on a weekly basis.

PROGRAM QUALITY REVIEWS

Program Quality Reviews (PQRs) are less formal visits that allow for more detailed conversations about strategies to improve program quality in any of the five compliance strands associated with the CPMR protocol, including *Fiscal Management*. During the PQR

visits, 21st CCLC Program Administrators use their discretion to focus on one or two compliance strands based on prior observation, available monitoring data, or sub-grantee requests for specific support. Once the PQR strand is determined, the Program Administrator uses individual PQR template for that respective strand to document the visit (Appendix L).

Although PQRs provide an opportunity to check on compliance, the PQR instrument and related protocol are not designed to identify specific compliance findings; rather, 21st CCLC Program Administrators utilize PQRs to provide technical assistance and to promote program quality. On the PQR instrument and subsequent report, the Program Administrators provide written feedback under the broad headings of “Commendations,” “Concerns,” and “Recommendations.” Although the Program Administrators complete and distribute written PQR reports to the sub-grantee to summarize the recent onsite visit, the sub-grantees are not required to provide a corrective action response or any other response in writing.



APPENDICES

APPENDIX A
21st CCLC Risk Analysis Template

UNIT #	LEA/Unit Name	Cohort#	State Fiscal / Program Year (YYYY-YYYY)	21st CCLC Program Administrator	Needs Comprehensive Program Monitoring in current year; enter "Yes" or update w/ actual date	Program Quality Review in current year; enter "Yes" or update w/ actual date	Comprehensive Program Monitoring occurred in previous year; enter actual date	If previous Comprehensive Program Monitoring Resulted in "Finding;" mark with "X"

APPENDIX B
21st CCLC Comprehensive Program Monitoring Review (CPMR)
Workflow and Process

Timeline	Action(s)	Resource(s)	Notes
Prior to Monitoring	1) 21 st CCLC Program Administrator inserts Sub-grantee specific information using the appropriate instrument template 2) If announced visit, 21 st CCLC Program Administrator will schedule date with sub-grantee and determine the visit logistics	<ul style="list-style-type: none"> On-Site CPMR instrument 	<ul style="list-style-type: none"> 21st CCLC monitors are NCDPI employees and are also referred to as 21st CCLC Program Administrators
During the Monitoring	3) 21 st CCLC Program Administrator staff conducts monitoring visit: <ul style="list-style-type: none"> Visit overview Review documentation Interview district staff, school personnel, and parents Exit review of any preliminary findings Note of any potential fiscal compliance concerns which might require additional investigation 	<ul style="list-style-type: none"> Visit Overview Presentation (as necessary) CPMR Instrument CPMR Report Documentation 	<ul style="list-style-type: none"> Interviews for staff and parents will be conducted as available
After the Monitoring	4) 21 st CCLC Program Administrator completes the On-Site Report and cover letter ➤ <input checked="" type="checkbox"/> Program Administrator also refers any fiscal compliance concerns to 21 st CCLC Fiscal Monitor for further investigation and informs 21 st CCLC Section Chief.	<ul style="list-style-type: none"> CPMR Instrument Template CPMR Report template Cover letter template 	<ul style="list-style-type: none"> 21st CCLC Program Administrator uses peer review prior to forwarding the instrument and report
Preparing the Report	5) Program Administrator sends cover letter, instrument and completed report to Program Assistant and 21 st CCLC Section Chief along with sub-grantee email contact. If visit resulted in no findings, Program	<ul style="list-style-type: none"> CPMR Instrument Template CPMR Report template Cover Letter template 	<ul style="list-style-type: none"> Program Assistant reviews cover letter for content and format Closing letter required if visit results in no findings

	Administrator also forwards draft of Closing Letter	<ul style="list-style-type: none"> Closing Letter Template (as appropriate) 	
Within 30 calendar days	6) Upon 21 st CCLC Section Chief approval, Program Assistant sends signed pdf of cover letter and report to the sub-grantee, copies Program Administrator	Same as above	
Within 10 business days from receipt of report	7) Sub-grantee responds to any compliance indicators marked as a “finding” on the monitoring report; sends response to Program Administrator and Program Assistant	<ul style="list-style-type: none"> Monitoring schedule with due dates Tracking Form Response from sub-grantee (no specific template required) 	<ul style="list-style-type: none"> Sub-grantee may request an extension, but must provide adequate rationale for such requests Program Administrators send reminders as necessary to ensure sub-grantee compliance with deadline
Within 30 calendar days after receipt of program response to findings	8) 21 st CCLC Program Administrator (SEA) works with 21 st CCLC Program Director (sub-grantee) as necessary until findings have been sufficiently addressed;	Not Applicable	If first attempt by program to respond to findings still fails short, program must provide additional data to NCDPI within 5 calendar days
When all findings have been adequately addressed	9) 21 st CCLC Program Administrator drafts CPMR Closing Letter (template in Dropbox folder), sends to 21 st CCLC Section Chief and Program Assistant	CPMR Closing Letter template	Ensure that all fiscal findings are sufficiently addressed as applicable
	10) 21 st CCLC Program Administrator provides completed tracking form to 21 st CCLC Section Chief for signature; once scanned, Program Administrator saves copy of signed pdf of the tracking form in the “Report” subfolder in Dropbox	Tracking Form	Signature of 21 st CCLC Section Chief on tracking form indicates that the completion of the current monitoring cycle

Additional protocol to remember for 21st CCLC Program Administrators:

- Maintain electronic copies of formal correspondences, reports, and notes/documents completed during the review in master Dropbox file back-up data with personal electronic files (and as necessary, hard-copy files)
- Provide all dates/initials/comments on tracking form
- Refer all fiscal concerns which surface outside of the scope of CPMR Report to Internal Contractor (Bill Frazier) for additional investigation
 - 21st CCLC Section Chief and 21st CCLC Fiscal Monitor will determine scope of supplemental fiscal review and if warranted, will facilitate a corrective action plan to seek repayment to State
 - 21st CCLC Fiscal Monitor will provide feedback to 21st CCLC Section Chief through monthly report (or more frequently as necessary) and when appropriate, to the Program Administrator
- Outside Auditing Contractor is conducting thorough review of fiscal processes for all new sub-grantees or any programs which had compliance findings during the fiscal review the previous program year. Auditing Contractor will provide full review data to the 21st CCLC Section Chief and Director by end of contract period, but will inform NCDPI immediately if discovers an apparent and gross misuse of funds

The 21st CCLC Program Monitoring Tracking Form is provided as a separate document in the 21st CCLC Standard Operating Procedures for Sub-Grantee Program Monitoring (Appendix I).

APPENDIX C
21st CCLC Comprehensive Program Monitoring Review
DOCUMENTATION GUIDE

Strand I. Program Management. Programs must adhere to all requirements, assurances, and certifications as indicated in the approved State application.

Indicators: The indicators below apply to the following protocols and procedures for program management.

Indicators	Evidences (Check all that apply and use “Notes/Comments” to add detail)
1.1 Program primarily serves students that attend Title I, Part A- eligible or low poverty schools/feeder schools (http://www.ncpublicschools.org/program-monitoring/titleIA/ for more info).	<ul style="list-style-type: none"> ⇒ List of Title I eligible programs/schools including schools to be served by 21st CCLC Grant ⇒ Poverty rate for schools/feeder schools to be served ⇒ Attendance Progress Report
1.2 Program serves projected number of students or can demonstrate efforts to continually recruit students/families to reach the projected number of program participants according to the approved grant application.	<ul style="list-style-type: none"> ⇒ Attendance Progress Report ⇒ Attendance log (on day of visit) ⇒ Recruitment plan/materials ⇒ Other : <input type="text"/>
1.3 Program schedule is structured to incorporate all proposed activities in the approved grant application. <ul style="list-style-type: none"> ⇒ Regular school-year program is offered <u>a minimum</u> of 12 hours per week. ⇒ Programs serving year-round feeder schools should identify intersessions as summer program component. 	<ul style="list-style-type: none"> ⇒ Programmatic schedule ⇒ Minutes from planning meetings ⇒ Lesson plans
1.4 Program operates outside of regular school day, including during summer, weekends, and/or through <i>Expanded Learning Time</i> model (see http://www.ncpublicschools.org/docs/21cclc/resources/standards/standards-procedures.pdf , p. 7-8 for definition of Expanded Learning Time).	<ul style="list-style-type: none"> ⇒ Programmatic schedule (for each site) ⇒ Copy of regular school day schedule ⇒ Other : <input type="text"/>

<p>1.5 Fiscal Agent Organization has developed staff handbooks and ensured staff have appropriate training regarding the following areas (at a minimum) as it relates to the 21st CCLC Program and in accordance with state and federal guidance:</p> <ul style="list-style-type: none"> • Daily operation (including arrival and dismissal process); • Building/Student safety; • Personnel procedures (including process for documenting staff hours); • Instructional planning and effective teaching practices; • Allowable uses and process to expend 21st CCLC funds (for appropriate staff). 	<ul style="list-style-type: none"> ⇒ Policy and procedures/ Staff handbook ⇒ Staff training materials ⇒ Sign-in sheets, Minutes ⇒ Documented email/Written communication with staff members ⇒ Student/Parent handbook ⇒ Staff interviews ⇒ Organization chart ⇒ Personnel website ⇒ PowerPoint presentations ⇒ Other: <input type="text"/>
<p>1.6 Fiscal Agent Organization and/or program creates and disseminates information to build awareness in the community about the 21st CCLC Program and attempts to garner support and resources for sustainability beyond the grant period.</p>	<ul style="list-style-type: none"> ⇒ Documents to support sustainability plans (e.g., records of matching and/or in-kind contributions in third or fourth year of implementation, commitments of support, etc.) ⇒ Marketing materials (Brochures and flyers/webpages/tweets/Facebook, etc.) ⇒ Email to external community stakeholders or potential funders ⇒ Minutes from meetings with community stakeholders (including and beyond RFP partnerships/agreements) ⇒ Correspondences with community stakeholders (including and beyond RFP partnerships/agreements) ⇒ Examples of program branding and use of the 21st CCLC logo ⇒ Other : <input type="text"/>
<p>1.7 Fiscal Agent Organization and/or program staff demonstrates effort to maintain effective communication with feeder schools to support student academic and/or social progress.</p>	<ul style="list-style-type: none"> ⇒ Documented frequency of attempted communication with the school ⇒ Collaborative planning meetings ⇒ Email/Webpage ⇒ Partnership/MOU agreement ⇒ Other : <input type="text"/>
<p>1.8 Fiscal Agent Organization and/or program management uses informal and formal data/evaluation results to refine or improve upon the program's efforts to achieve its goals in the approved grant proposal.</p>	<ul style="list-style-type: none"> ⇒ Types of program evaluations/formative or summative assessments (sample) ⇒ CFDC data ⇒ Program Assessment Summary ⇒ Assessment Reports in CCIP grants management system ⇒ Strategic planning documentation ⇒ NC CAP Self- Assessment ⇒ Student work samples ⇒ Other : <input type="text"/>

Strand II. Program Implementation: 21st CCLC programs must ensure that programs are implemented that provide students with academic support programming and enrichment opportunities that complement students' regular in school academic programs.

Indicators: The indicators below apply to the implementation of the program.

Indicators	Evidences (Check all that apply and use "Notes/Comments" to add detail)
2.1 Student program activities focus on a minimum of reading/language arts and mathematics in alignment with the NC Standard Course of Study.	<ul style="list-style-type: none"> ⇒ Lesson plans aligned with the NC Standard Course of Study ⇒ Evidence of varied approaches to teaching and learning ⇒ Evidence of a broad array of activities to complement teaching and learning during the regular school day ⇒ Schedule of activities ⇒ Other : <input type="text"/>
2.2 The program is designed to support all students through a varied use of instructional methods and activities, including the use of diverse reading materials, technology, or other resource materials that stimulate student interest.	<ul style="list-style-type: none"> ⇒ Lesson plans; Notes from curricular planning meeting ⇒ Varied learning activities to support social, emotional and physical health for students and/or families ⇒ Minutes from collaborative team meetings ⇒ Staff training agendas, copies of sign-in sheets ⇒ Resources utilized ⇒ Examples of engaging use of technology and/or other resource materials ⇒ Field trips ⇒ Student interest surveys ⇒ Teacher/Parent surveys ⇒ Other : <input type="text"/>
2.3 Instructional materials and methods align to the appropriate age, grade, ability level, and needs of the students.	<ul style="list-style-type: none"> ⇒ Lesson plans ⇒ Data collection processes/observations ⇒ Evidence of individual student-aligned strategies to meet the level of need ⇒ Teachers provide ongoing checks for student understanding of activity ⇒ Evaluations of student work ⇒ Documentation from feeder school collaboration ⇒ Staff training agendas, copies of sign-in sheets ⇒ Minutes from collaborative team meetings ⇒ Individual behavior plans (as applicable) ⇒ Other : <input type="text"/>
2.4 The program offers services, programs, and activities, such as youth development activities, drug and violence prevention programs, counseling programs, art, music, and recreation programs, technology education programs, and character education programs, that are designed to reinforce	<ul style="list-style-type: none"> ⇒ Program schedule in alignment with the approved grant proposal ⇒ List of varied activities to supplement academic program ⇒ Lesson plans ⇒ Samples of staff training ⇒ Field trips ⇒ Individual behavior plans (as applicable)

and complement the regular academic program of participating students.	⇒ Other: <input type="text"/>
2.5 Program staff receives appropriate individual or group professional development on an ongoing basis as needed to support instructional planning and effective teaching practices.	⇒ Staff professional development plans/ schedule for the year and summer ⇒ Staff/Student observations ⇒ Program staff handbook ⇒ Written plan for staff evaluation ⇒ Program Director/Lead Teacher observation notes ⇒ Agendas, sign-in sheets, and/or minutes ⇒ Training resources ⇒ Other : <input type="text"/>
2.6 Ongoing review of student social and academic progress as well as periodic assessments of student work is used to inform and refine program activities and lesson plans.	⇒ Data collection processes/observations ⇒ Written or oral feedback from staff on student work ⇒ Team planning meeting ⇒ Teachers provide ongoing checks for student understanding of activity ⇒ Communication to parents/students on academic progress ⇒ Feeder school collaboration ⇒ Other : <input type="text"/>
2.7 Program Director (or Fiscal Agent Organization designee) maintains ongoing communication with staff to ensure program activities are coordinated and delivered in accordance with the final approved application and is based on effective practices.	⇒ Staff communications ⇒ Agendas, sign-in sheets, minutes ⇒ PowerPoints /Training resources ⇒ Other : <input type="text"/>

Strand III. Family and Community Engagement. The program provides participating family members literacy and other educational opportunities aligned to activities of the students participating in the program.

Indicators: The indicators below apply to the effective strategies and outreach for family engagement.

Indicators	Evidences (Check all that apply and use “Notes/Comments” to add detail)
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<p>3.1 The program provides participating parents and families educational opportunities. Related activities might include but are not limited to the following:</p> <ul style="list-style-type: none"> • Student academic support; • Student performance; • GED classes; • Social/government resources; • Family literacy; • Financial literacy. 	<ul style="list-style-type: none"> ⇒ Calendar of parent/family events ⇒ Evidence of educational opportunity activities for parents/families ⇒ Plan regarding family engagement (written, if available) ⇒ Agendas, sign-in sheets, minutes from parent meetings or family events ⇒ Documentation of dedicated staff for parent engagement work (as relevant) ⇒ Other pictures/documentation from family events ⇒ Parent interviews ⇒ Other : <input type="text"/>
<p>3.2 Program provides a 21st CCLC (group or individual) parent orientation and parent /student handbook that address the following areas at a minimum:</p> <ul style="list-style-type: none"> • Purpose/Goals of the 21st CCLC Program; • Enrollment process; • Attendance expectations; student check-in/check-out process; • Student behavior expectations; • Transportation arrangements. 	<ul style="list-style-type: none"> ⇒ Parent orientation materials ⇒ 21st CCLC Student/Parent Handbook ⇒ Meeting minutes ⇒ Student/Parent meeting sign-in ⇒ Parent/Student signature acknowledgment of receipt ⇒ Other : <input type="text"/>
<p>3.3 Established procedures and/or policies are implemented regarding communication with non-English speaking and/or illiterate parents as applicable.</p>	<ul style="list-style-type: none"> ⇒ Evidence of application/orientation information, handbooks, meeting/presentation materials, and other written communications translated into non-English speaking documents (as needed) ⇒ Evidence of the use of interpreters and/or translation equipment for all parent meetings and training sessions (as needed) ⇒ Other : <input type="text"/>
<p>3.4 Established procedures and/or policies are implemented regarding the frequency and content of communication and educational services provided to parents, families, and the community.</p>	<ul style="list-style-type: none"> ⇒ Program calendar ⇒ Active enrollment in programs for parents ⇒ <i>Documented community awareness strategies and efforts to enhance involvement</i> ⇒ Flyers, brochures ⇒ Other : <input type="text"/>

Strand IV. Federal, State and Local Statutes: 21st CCLC programs must meet all applicable Federal, State, and local health, safety and civil rights laws.

Indicators: The indicators below apply to the following applicable laws under federal, state and local governance.

Indicators	Evidences (Check all that apply and use "Notes/Comments" to add detail)
<p>4.1 Program operates in a facility that meets state, local, and/or federal safety guidelines.</p> <p>For information regarding NC building and fire codes, see http://www.ncdoi.com/OSFM/ OR http://ecodes.biz/ecodes_support/free_resources/2012NorthCarolina/Fire/12NC_Fire.html.</p>	<ul style="list-style-type: none"> ⇒ Written emergency/critical incident plans, including evacuation plan ⇒ Fire drill logs/ Fire inspection documentation ⇒ Evidence of emergency drills (weather, lock-down, fire, etc.) ⇒ Building inspection documents (as appropriate) ⇒ Other : <input type="text"/>
<p>4.2 Criminal background checks are completed for each program employee, including the Program Director and volunteers, prior to employment; record checks include at least the last 3 years (see 21st CCLC Policies and Procedures Manual, http://www.ncpublicschools.org/21cclc/resources/standards/).</p>	<ul style="list-style-type: none"> ⇒ Sample of criminal background checks (10% of all staff or 5, whichever is greater) ⇒ Staff handbook/ Personnel policy manual
<p>4.3 Program staff receive 21st CCLC staff handbook and related training regarding student and staff safety procedures, includes the following information (at a minimum):</p> <ul style="list-style-type: none"> • Emergency/critical incident plans, including evacuation plans; • Basic first aid; • Emergency contact information; • Student departure and arrival, including approved parents/guardians to pick-up students; • Mandatory reporting of suspected child abuse and neglect; for more info, see https://www.childwelfare.gov/systemwide/laws_policies/statutes/manda.cfm , or for NC, specifically, see http://www.ncga.state.nc.us/EnactedLegislation/Statutes/HTML/BySection/Chapter_7B/GS_7B-301.html. 	<ul style="list-style-type: none"> ⇒ Procedures and policies manual ⇒ Written emergency/critical incident plans, including evacuation plan ⇒ Agendas, sign-in sheets, minutes ⇒ Training materials/documents ⇒ First aid training documentation (not required, but optimal) ⇒ Other : <input type="text"/>

<p>4.4 Policies/procedures are in place to ensure that students are transported safely to and from the program site (as appropriate).</p>	<ul style="list-style-type: none"> ⇒ Written transportation process (arrival/departure), including documented staff training ⇒ Communications which document check-in/check-out procedures for staff and parents ⇒ Rental/Lease agreement for transportation if applicable ⇒ Maintenance records (if vehicle owned by fiscal agent) ⇒ Roster of drivers ⇒ Agendas, sign-in sheets, minutes ⇒ Other : <input type="text"/>
<p>4.5 Policies and/or procedures on student conduct and discipline are clearly communicated to students, parents, and staff and related procedures are implemented consistently.</p>	<ul style="list-style-type: none"> ⇒ Disciplinary procedures and expectations clearly defined ⇒ Samples of student discipline reports ⇒ Staff handbook ⇒ Parent/Student handbook ⇒ Other : <input type="text"/>
<p>4.6 During the development of the grant proposal, the Fiscal Agent Organization engaged in timely and meaningful consultation with private school officials in the program's attendance zone to ensure that eligible private school children and their teachers or other educational personnel are provided with equitable services or other benefits under the 21st CCLC program.</p> <p>Note: charter schools are exempt from this requirement.</p> <p>OR</p> <p>After the initial grant award year, the Fiscal Agent Organization notifies the private school officials in the program's attendance zone on an annual basis to inform them of the 21st CCLC services available to private school students.</p> <p>For more regarding consultation with private schools, see http://www2.ed.gov/policy/elsec/leg/esea02/pg111.html.</p>	<ul style="list-style-type: none"> ⇒ List of private schools in attendance area ⇒ Written plan for consultation (if available) ⇒ Meeting notice and agenda ⇒ Certified mail receipts ⇒ Meeting minutes ⇒ Charter school /Not applicable

<p>4.7 Program has policies in place for safe and appropriate use of the internet, including, but not limited to the following:</p> <ul style="list-style-type: none"> • Compliance with The Children’s Internet Protection Act (CIPA)-- designed to block youth’ access to obscene or harmful material; For more info on CIPA, see http://www.fcc.gov/guides/childrens-internet-protection-act. • Compliance with the Children’s Online Privacy and Protection Act; See http://www.ftc.gov/enforcement/rules/rulemaking-regulatory-reform-proceedings/childrens-online-privacy-protection-rule. 	<ul style="list-style-type: none"> ⇒ Procedures for safe use of the internet and social media (school district policies on file as appropriate) ⇒ Handbook (staff, students/parents) and related training materials ⇒ Parental consent to utilize the Internet/Photo/Web communications ⇒ Agendas, sign-in sheets, minutes from related staff training ⇒ Documented alignment with school district, charter, or feeder school use and access policies
<p>4.8 Fiscal Agent Organization complies with all 21st CCLC data requests in compliance with state and federal regulations.</p>	<ul style="list-style-type: none"> ⇒ Consolidated Federal Data Collection (CFDC)- renamed “21 DC” in 2017- submission of Grantee Profile and Annual performance Report ⇒ <i>Related Document</i> uploads in the 21st CCLC Funding Application in the Comprehensive Continuous Improvement Plan (CCIP) grants management system ⇒ Documentation of any program performance, attendance, or other evaluative data as requested by NCDPI ⇒ Written response from program to address any compliance concerns disclosed by NCDPI ⇒ Other : <input type="text"/>

Strand V. Fiscal Management: 21st CCLC program funds are expended consistent with the approved application, State guidelines, and provisions of 34 CFR § 80 Education Department General Administrative Regulations (EDGAR).

Indicators: The indicators below apply to the following applicable compliance with fiscal requirements.

Indicators	Evidences (Check all that apply and use “Notes/Comments” to add detail)
<p>5.1 The Fiscal Agent Organization has a 21st CCLC fiscal procedures manual and appropriate staff follow the established processes as it relates to the following:</p> <ul style="list-style-type: none"> • Staff sign-in/sign-out • Purchasing program supplies with 21st CCLC funds • Submittal of monthly reimbursement requests in ERaCA (if non-LEA) 	<ul style="list-style-type: none"> ⇒ 21st CCLC Fiscal Procedures Manual ⇒ Training materials/documents ⇒ Agendas, sign-in sheets, minutes ⇒ Staff interviews ⇒ Equipment inventory ⇒ 21st CCLC Fiscal Monitoring Report/Results ⇒ Other : <input type="text"/>

<ul style="list-style-type: none"> • Documentation and submittal (if non-LEA) of monthly receipts, proofs of purchase, and other relevant documentation to justify reimbursement requests • Maintaining accurate inventory of 21st CCLC equipment and supplies 	
<p>5.2 The fiscal agent organization employs 21st CCLC Program staff, including the Program Director (as appropriate), and incurs 21st CCLC expenses based on what is reasonable, allocable, and necessary to support the goals identified in the approved grant application and annual budget, and in consideration of the number and size of program sites as well as the number and age of students to be served.</p>	<ul style="list-style-type: none"> ⇒ Approved budget ⇒ Staff job description and qualifications ⇒ Number of staff/students ⇒ Number of sites ⇒ Staff roster ⇒ Documentation of other resources (where applicable) ⇒ Other : <input type="text"/>
<p>5.3 Any non-21st CCLC financial or in-kind resources from private, local, state, or other federal funding utilized to support the 21st CCLC program are disclosed to NCDPI upon request, and if other funding sources are available, the Fiscal Agent Organization clearly demonstrates that 21st CCLC funds are used to <i>supplement</i> and not <i>supplant</i> the level of State, local and other non-Federal funds that would, in the absence of those federal funds, be available to support the program activities.</p>	<p>Information gathered through staff interviews:</p> <ul style="list-style-type: none"> • Does the program use 21st CCLC funds to provide services that the (LEA or non-LEA) program provided with nonfederal funds in the prior year? <ul style="list-style-type: none"> ○ If yes, are the non-21st CCLC funds still available? If no, why not? ○ In the absence of 21st CCLC funds, would the service still be provided? • Does the program use 21st CCLC funds to provide services that the (LEA or non-LEA) program is already required to make available under other federal, state, or local regulations?
<p>5.4 If the Fiscal Agent Organization collects any fees from 21st CCLC students, parents, or participating families, the Fiscal Agent Organization is able to clearly demonstrate the following:</p> <ul style="list-style-type: none"> • Any individual fees charged to participating families are minimal in scope and the collection of fees is not a prohibiting factor in any eligible student/family's participation in the 21st CCLC Program; • All 21st CCLC application and orientation materials clearly communicate the availability of a sliding income scale to determine fees and/or that full scholarships are available as necessary; <p>AND</p>	<ul style="list-style-type: none"> ⇒ NOT APPLICABLE; No 21st CCLC fees are collected ⇒ Documentation of any 21st CCLC fees collected and how those fees are reinvested in the program during the same fiscal year ⇒ Application materials/Written explanation of fees (when relevant and/or necessary) ⇒ 21st CCLC Fiscal Procedures Manual ⇒ 21st CCLC Fiscal Monitoring Report ⇒ Student/Parent Handbook ⇒ Student enrollment ⇒ Other : <input type="text"/>

- | | |
|---|--|
| <ul style="list-style-type: none">• Any 21st CCLC fees collected are re-invested in the operation of the 21st CCLC Program during the same fiscal year. | |
|---|--|

APPENDIX D **21st Century Community Learning Centers** **Comprehensive Program Monitoring Review Instrument**

Program Name: _____ **Date of Monitoring Visit:** _____
Unit Number/Cohort Number: _____ / _____ **Program Director:** _____
Fiscal Agent Organization: _____
Funding Year: ☐ 1st ☐ 2nd ☐ 3rd ☐ 4th **Start Date in Current Fiscal Year:** _____
Total Number of Students to Be Served (per the RFP): _____ **Number of Program Sites:** _____
Site(s) Visited (by Name or Location): _____
Report Completed by: _____ **Completion Date:** _____

Monitoring of the 21st Century Community Learning Centers (21st CCLC) Program focuses on indicators across common compliance strands in the following areas: Program Management, Program Implementation, Family Engagement, Federal, State and Local Statutes and Fiscal Management. The 21st CCLC Program (LEA/Non-LEA) must respond to all indicators identified with “Findings” by adhering to the “Requested Action Needed” as specified in the report. The State Educational Agency (SEA) is required to monitor the quality and effectiveness of the programs operating with funds provided through 21st Century Community Learning Centers (21st CCLC) Grant, as per 34 CFR § 80 (EDGAR). **In order to effectively utilize available State resources, fiscal reviews may be scheduled and conducted at a separate time from the 21st CCLC program monitoring.**

Common Compliance Strands

The 21st CCLC Program is reviewed using the following inter-related compliance strands:

- I. **Program Management.** The 21st CCLC Program must adhere to all requirements, assurances, and certifications as indicated in the 21st CCLC Grant application that was approved by the NC State Board of Education.
- II. **Program Implementation.** The 21st CCLC Program must ensure that programs are implemented that provide students with academic support and enrichment opportunities that complement the instruction provided the students during the regular school day.
- III. **Family and Community Engagement.** The 21st CCLC program provides participating family members literacy and other educational opportunities aligned to activities of the students participating in the program.
- IV. **Federal/State/Local Statutes.** The 21st CCLC program must meet all applicable Federal, State, and local health, safety and civil rights laws.
- V. **Fiscal Management.** 21st CCLC program funds are expended consistent with the approved application, State guidelines, and provisions of 34 CFR § 80 Education Department General Administrative Regulations (EDGAR).

Rating Rubric			
Meets Requirements	Finding(s)	Meets Requirements with Recommendations*	NA- Not Applicable
Compliance indicator is 100% met and supported by all required evidence(s). All Required documents are provided and support compliance. Interviews support documentation, processes, and implementation. Compliance is consistent at program level and sites sampled.	Evidence or lack of evidence show compliance indicator has not been met. Incomplete or lack of required documentation. Interviews lack understanding or support of documentation, processes, and implementation. Compliance is inconsistent at program level and sites sampled.	Basic compliance requirements are met; recommendations are provided for improvement.	Accountability standard is not applicable.

**Descriptions of “Findings” and “Recommendations” are included in the Narrative Section of the monitoring report.*

NOTE: Because the methodology of the 21st CCLC monitoring includes sampling, the monitoring process cannot produce an all-inclusive assessment of items in this instrument. The 21st CCLC program is responsible for operating its categorical programs in compliance with all applicable laws and regulations.

Strand I. Program Management. Programs must adhere to all requirements, assurances, and certifications as indicated in the approved State application.

Indicators: The indicators below apply to the following protocols and procedures for program management.

Indicators	Evidences (Check all that apply and use "Notes/Comments" to add detail)
1.1 Program primarily serves students that attend Title I, Part A- eligible or low poverty schools/feeder schools (http://www.ncpublicschools.org/program-monitoring/titleIA/ for more info).	<ul style="list-style-type: none"> ⇒ List of Title I eligible programs/schools including schools to be served by 21st CCLC Grant ⇒ Poverty rate for schools/feeder schools to be served ⇒ Attendance Progress Report <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>
Notes/Comments: _____	
Recommendations: _____	
Initial Finding: _____	Initial Action Needed: _____
1.2 Program serves projected number of students or can demonstrate efforts to continually recruit students/families to reach the projected number of program participants according to the approved grant application.	
Number of projected students per RFP: _____ Number of students present on day of visit: _____ Total number of students enrolled on day of visit: _____	<ul style="list-style-type: none"> ⇒ Attendance Progress Report ⇒ Attendance log (on day of visit) ⇒ Recruitment plan/materials ⇒ Other : _____ <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>
Notes/Comments: _____	
Recommendations: _____	
Initial Finding: _____	Initial Action Needed: _____
1.3 Program schedule is structured to incorporate all proposed activities in the approved grant application.	
⇒ Regular school-year program is offered a <u>minimum</u> of 12 hours per week.	<ul style="list-style-type: none"> ⇒ Programmatic schedule ⇒ Minutes from planning meetings ⇒ Lesson plans ⇒ Other : _____ <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>

<p>⇒ Programs serving year-round feeder schools should identify intersessions as summer program component.</p>	
<p>Notes/Comments: <input type="text"/></p>	
<p>Recommendations: <input type="text"/></p>	
<p>Initial Finding: <input type="text"/></p>	<p>Initial Action Needed: <input type="text"/></p>
<p>1.4 Program operates outside of regular school day, including during summer, weekends, and/or through <i>Expanded Learning Time</i> model (see http://www.ncpublicschools.org/docs/21cclc/resources/standards/standards-procedures.pdf, p. 7-8 for definition of Expanded Learning Time).</p>	<p>⇒ Programmatic schedule (for each site)</p> <p>⇒ Other: <input type="text"/></p> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>
<p>Notes/Comments: <input type="text"/></p>	
<p>Recommendations: <input type="text"/></p>	
<p>Initial Finding: <input type="text"/></p>	<p>Initial Action Needed: <input type="text"/></p>
<p>1.5 Fiscal Agent Organization has developed staff handbooks and ensured staff have appropriate training regarding the following areas (at a minimum) as it relates to the 21st CCLC Program and in accordance with state and federal guidance:</p> <ul style="list-style-type: none"> • Daily operation (including arrival and dismissal process); • Building/Student safety; • Personnel procedures (including process for documenting staff hours); • Instructional planning and effective teaching practices; • Allowable uses and process to expend 21st CCLC funds (for appropriate staff). 	<p>⇒ Policy and procedures/ Staff handbook</p> <p>⇒ Staff training materials</p> <p>⇒ Sign-in sheets, Minutes</p> <p>⇒ Documented email/Communication with staff members</p> <p>⇒ Student/Parent handbook</p> <p>⇒ Staff interviews</p> <p>⇒ Organization chart</p> <p>⇒ Personnel website</p> <p>⇒ PowerPoint presentations</p> <p>⇒ Other: <input type="text"/></p> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>

Notes/Comments: <input type="text"/>	
Recommendations: <input type="text"/>	
Initial Finding: <input type="text"/>	Initial Action Needed: <input type="text"/>
<p>1.6 Fiscal Agent Organization and/or program creates and disseminates information to build awareness in the community about the 21st CCLC Program and attempts to garner support and resources for sustainability beyond the grant period.</p>	<ul style="list-style-type: none"> ⇒ Documents to support sustainability plans (e.g., records of matching and/or in-kind contributions in third or fourth year of implementation, commitments of support, etc.) ⇒ Marketing materials (Brochures and flyers/webpages/tweets/Facebook, etc.) ⇒ Email to external community stakeholders or potential funders ⇒ Minutes from meetings with community stakeholders (including and beyond RFP partnerships/agreements) ⇒ Correspondences with community stakeholders (including and beyond RFP partnerships/agreements) ⇒ Examples of program branding and use of the 21st CCLC logo ⇒ Other: <input type="text"/> <p>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</p>
Notes/Comments: <input type="text"/>	
Recommendations: <input type="text"/>	
Initial Finding: <input type="text"/>	Initial Action Needed: <input type="text"/>
<p>1.7 Fiscal Agent Organization and/or program staff demonstrates effort to maintain effective communication with feeder schools to support student academic and/or social progress.</p>	<ul style="list-style-type: none"> ⇒ Documented frequency of attempted communication with the school ⇒ Collaborative planning meetings ⇒ Email/Webpage ⇒ Partnership agreement ⇒ Other: <input type="text"/>

		NOTE: Cite specific documentation reviewed in Notes/Comments section below.
Notes/Comments: <input type="text"/>		
Recommendations: <input type="text"/>		
Initial Finding: <input type="text"/>		Initial Action Needed: <input type="text"/>
1.8 Fiscal Agent Organization and/or program management uses informal and formal data/evaluation results to refine or improve upon the program's efforts to achieve its goals in the approved grant proposal.		⇒ Types of program evaluations/formative or summative assessments (sample) ⇒ CFDC data ⇒ Program Assessment Summary ⇒ Assessment Reports in CCIP grants management system ⇒ Strategic planning documentation ⇒ NC CAP Self- Assessment ⇒ Student work samples ⇒ Other: <input type="text"/> NOTE: Cite specific documentation reviewed in Notes/Comments section below.
Notes/Comments: <input type="text"/>		
Recommendations: <input type="text"/>		
Initial Finding: <input type="text"/>		Initial Action Needed: <input type="text"/>

Strand II. Program Implementation: 21st CCLC programs must ensure that programs are implemented that provide students with academic support programming and enrichment opportunities that complement students' regular in school academic programs.

Indicators: The indicators below apply to the implementation of the program.

Indicators	Evidences (Check all that apply and use "Notes/Comments" to add detail)
2.1 Student program activities focus on a minimum of reading/language arts and mathematics in alignment with the NC Standard Course of Study.	⇒ Lesson plans aligned with the NC Standard Course of Study ⇒ Evidence of varied approaches to teaching and learning

	<ul style="list-style-type: none"> ⇒ Evidence of a broad array of activities to complement teaching and learning during the regular school day ⇒ Schedule of activities ⇒ Other: <input type="text"/> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>
Notes/Comments: <input type="text"/>	
Recommendations: <input type="text"/>	
Initial Finding: <input type="text"/>	Initial Action Needed: <input type="text"/>
<p>2.2 The program is designed to support all students through a varied use of instructional methods and activities, including the use of diverse reading materials, technology, or other resource materials that stimulate student interest.</p>	<ul style="list-style-type: none"> ⇒ Lesson plans; Notes from curricular planning meeting ⇒ Varied learning activities to support social, emotional and physical health for students and/or families ⇒ Minutes from collaborative team meetings ⇒ Staff training agendas, copies of sign-in sheets ⇒ Resources utilized ⇒ Examples of engaging use of technology and/or other resource materials ⇒ Field trips ⇒ Student interest surveys ⇒ Teacher/Parent surveys ⇒ Other: <input type="text"/> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>
Notes/Comments: <input type="text"/>	
Recommendations: <input type="text"/>	
Initial Finding: <input type="text"/>	Initial Action Needed: <input type="text"/>

<p>2.3 Instructional materials and methods align to the appropriate age, grade, ability level, and needs of the students.</p>	<ul style="list-style-type: none"> ⇒ Lesson plans ⇒ Data collection processes/observations ⇒ Evidence of individual student-aligned strategies to meet the level of need ⇒ Teachers provide ongoing checks for student understanding of activity ⇒ Evaluations of student work ⇒ Documentation from feeder school collaboration ⇒ Staff training agendas, copies of sign-in sheets ⇒ Minutes from collaborative team meetings ⇒ Individual behavior plans (as applicable) ⇒ Other: <input type="text"/> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>
<p>Notes/Comments: <input type="text"/></p>	
<p>Recommendations: <input type="text"/></p>	
<p>Initial Finding: <input type="text"/></p>	<p>Initial Action Needed: <input type="text"/></p>
<p>2.4 The program offers services, programs, and activities, such as youth development activities, drug and violence prevention programs, counseling programs, art, music, and recreation programs, technology education programs, and character education programs, that are designed to reinforce and complement the regular academic program of participating students.</p>	<ul style="list-style-type: none"> ⇒ Program schedule in alignment with the approved grant proposal ⇒ List of varied activities to supplement academic program ⇒ Lesson plans ⇒ Samples of staff training ⇒ Field trips ⇒ Individual behavior plans (as applicable) ⇒ Other: <input type="text"/> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>

Notes/Comments: _____	
Recommendations: _____	
Initial Finding: _____	Initial Action Needed: _____
2.5 Program staff receives appropriate individual or group professional development on an ongoing basis as needed to support instructional planning and effective teaching practices.	<ul style="list-style-type: none"> ⇒ Staff professional development plans/ schedule for the year and summer ⇒ Staff/Student observations ⇒ Program staff handbook ⇒ Written plan for staff evaluation ⇒ Program Director/Lead Teacher observation notes ⇒ Agendas, sign-in sheets, and/or minutes ⇒ Training resources ⇒ Other: <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>
Notes/Comments: _____	
Recommendations: _____	
Initial Finding: _____	Initial Action Needed: _____
2.6 Ongoing review of student social and academic progress as well as periodic assessments of student work is used to inform and refine program activities and lesson plans.	<ul style="list-style-type: none"> ⇒ Data collection processes/observations ⇒ Written or oral feedback from staff on student work ⇒ Team planning meeting ⇒ Teachers provide ongoing checks for student understanding of activity ⇒ Communication to parents/students on academic progress ⇒ Feeder school collaboration ⇒ Other: _____

		<i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i>
Notes/Comments: _____		
Recommendations: _____		
Initial Finding: _____		Initial Action Needed: _____
2.7 Program Director (or Fiscal Agent Organization designee) maintains ongoing communication with staff to ensure program activities are coordinated and delivered in accordance with the final approved application and is based on effective practices.		⇒ Staff communications ⇒ Agendas, sign-in sheets, minutes ⇒ PowerPoints /Training resources ⇒ Other: _____ <i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i>
Notes/Comments: _____		
Recommendations: _____		
Initial Finding: _____		Initial Action Needed: _____

Strand III. Family and Community Engagement. The program provides participating family members literacy and other educational opportunities aligned to activities of the students participating in the program.

Indicators: The indicators below apply to the effective strategies and outreach for family engagement.

Indicators	Evidences (Check all that apply and use "Notes/Comments" to add detail)
3.1 The program provides participating parents and families educational opportunities. Related activities might include but are not limited to the following: <ul style="list-style-type: none"> • Student academic support; • Student performance; • GED classes; • Social/government resources; • Family literacy; • Financial literacy. 	⇒ Calendar of parent/family events ⇒ Evidence of educational opportunity activities for parents/families ⇒ Plan regarding family engagement (written, if available) ⇒ Agendas, sign-in sheets, minutes from parent meetings or family events ⇒ Documentation of dedicated staff for parent engagement work (as relevant) ⇒ Other pictures/documentation from family events

		⇌ Parent interviews ⇌ Other: <input type="text"/> <i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i>
Notes/Comments: <input type="text"/>		
Recommendations: <input type="text"/>		
Initial Finding: <input type="text"/>		Initial Action Needed: <input type="text"/>
3.2 Program provides a 21 st CCLC (group or individual) parent orientation and parent /student handbook that address the following areas at a minimum: <ul style="list-style-type: none"> • Purpose/Goals of the 21st CCLC Program; • Enrollment process; • Attendance expectations; student check-in/check-out process; • Student behavior expectations; • Transportation arrangements. 		⇌ Parent orientation materials ⇌ 21 st CCLC Student/Parent Handbook ⇌ Meeting minutes ⇌ Student/Parent meeting sign-in ⇌ Parent/Student signature acknowledgment of receipt ⇌ Other: <input type="text"/> <i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i>
Notes/Comments: <input type="text"/>		
Recommendations: <input type="text"/>		
Initial Finding: <input type="text"/>		Initial Action Needed: <input type="text"/>
3.3 Established procedures and/or policies are implemented regarding communication with non-English speaking and/or illiterate parents as applicable.		⇌ Evidence of application/orientation information, handbooks, meeting/presentation materials, and other written communications translated into non-English speaking documents (as needed) ⇌ Evidence of the use of interpreters and/or translation equipment for all parent meetings and training sessions ⇌ Other: <input type="text"/> <i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i>

Notes/Comments: <input type="text"/>	
Recommendations: <input type="text"/>	
Initial Finding: <input type="text"/>	Initial Action Needed: <input type="text"/>
<p>3.4 Established procedures and/or policies are implemented regarding the frequency and content of communication and educational services provided to parents, families, and the community.</p> <ul style="list-style-type: none"> ⇒ Program calendar ⇒ Active enrollment in programs for parents ⇒ <i>Documented community awareness strategies and efforts to enhance involvement</i> ⇒ Flyers, brochures ⇒ Other: <input type="text"/> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>	
Notes/Comments: <input type="text"/>	
Recommendations: <input type="text"/>	
Initial Finding: <input type="text"/>	Initial Action Needed: <input type="text"/>

Strand IV. Federal, State and Local Statutes: 21st CCLC programs must meet all applicable Federal, State, and local health, safety and civil rights laws.

Indicators: The indicators below apply to the following applicable laws under federal, state and local governance.

Indicators	Evidences (Check all that apply and use "Notes/Comments" to add detail)
<p>4.1 Program operates in a facility that meets state, local, and/or federal safety guidelines.</p> <p>For information regarding NC building and fire codes, see</p> <p>http://www.ncdoi.com/OSFM/</p> <p>OR</p> <p>http://ecodes.biz/ecodes_support/free_resources/2012NorthCarolina/Fire/12NC_Fire.html.</p>	<ul style="list-style-type: none"> ⇒ Written emergency/critical incident plans, including evacuation plan ⇒ Fire drill logs/ Fire inspection documentation ⇒ Evidence of emergency drills (weather, lock-down, fire, etc.) ⇒ Building inspection documents (as appropriate) ⇒ Other: <input type="text"/>

		<i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i>	
Notes/Comments: <input type="text"/>			
Recommendations: <input type="text"/>			
Initial Finding: <input type="text"/>		Initial Action Needed: <input type="text"/>	
4.2 Criminal background checks are completed for each program employee, including the Program Director and volunteers, prior to employment; record checks include at least the last 3 years (see 21st CCLC Policies and Procedures Manual, http://www.ncpublicschools.org/21cclc/resources/standards/).		<input type="checkbox"/> Sample of criminal background checks (10% of all staff or 5, whichever is greater) <input type="checkbox"/> Personnel policy manual <i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i>	
Notes/Comments: <input type="text"/>			
Recommendations: <input type="text"/>			
Initial Finding: <input type="text"/>		Initial Action Needed: <input type="text"/>	
4.3 Program staff receive 21 st CCLC Staff handbook and related training regarding student and staff safety procedures, includes the following information (at a minimum): <ul style="list-style-type: none"> • Emergency/critical incident plans, including evacuation plans; • Basic first aid; • Emergency contact information; • Student departure and arrival, including approved parents/guardians to pick-up students; • Mandatory reporting of suspected child abuse and neglect ; for more info, see https://www.childwelfare.gov/systemwide/laws_policies/statutes/mandat.cfm , or for NC, specifically, see http://www.ncga.state.nc.us/EnactedLegislati 		<input type="checkbox"/> Procedures and policies manual <input type="checkbox"/> Written emergency/critical incident plans, including evacuation plan <input type="checkbox"/> Agendas, sign-in sheets, minutes <input type="checkbox"/> Training materials/documents <input type="checkbox"/> First aid training documentation (not required, but optimal) <input type="checkbox"/> Other: <input type="text"/> <i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i>	

on/Statutes/HTML/BySection/Chapter_7B/GS_7B-301.html.	
Notes/Comments: <input type="text"/>	
Recommendations: <input type="text"/>	
Initial Finding: <input type="text"/>	Initial Action Needed: <input type="text"/>
4.4 Policies/procedures are in place to ensure that students are transported safely to and from the program site (as appropriate).	<ul style="list-style-type: none"> ⇒ Written transportation process (arrival/departure), including documented staff training ⇒ Communications which document check-in/check-out procedures for staff and parents ⇒ Rental/Lease agreement for transportation if applicable ⇒ Maintenance records (if vehicle owned by fiscal agent) ⇒ Roster of drivers ⇒ Agendas, sign-in sheets, minutes ⇒ Other: <input type="text"/> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>
Notes/Comments: <input type="text"/>	
Recommendations: <input type="text"/>	
Initial Finding: <input type="text"/>	Initial Action Needed: <input type="text"/>
4.5 Policies and/or procedures on student conduct and discipline are clearly communicated to students, parents, and staff and related procedures are implemented consistently.	<ul style="list-style-type: none"> ⇒ Disciplinary procedures and expectations clearly defined ⇒ Samples of student discipline reports ⇒ Staff handbook ⇒ Parent/Student handbook ⇒ Other: <input type="text"/>

	NOTE: Cite specific documentation reviewed in Notes/Comments section below.
Notes/Comments: _____	
Recommendations: _____	
Initial Finding: _____	Initial Action Needed: _____
<p>4.6 During the development of the grant proposal, the Fiscal Agent Organization engaged in timely and meaningful consultation with private school officials in the program's attendance zone to ensure that eligible private school children and their teachers or other educational personnel are provided with equitable services or other benefits under the 21st CCLC program.</p> <p>OR</p> <p>After the initial grant award year, the Fiscal Agent Organization notifies the private school officials in the program's attendance zone on an annual basis to inform them of the 21st CCLC services available to private school students.</p> <p>For more regarding consultation with private schools, see http://www2.ed.gov/policy/elsec/leg/esea02/pg111.html.</p>	<ul style="list-style-type: none"> ⇒ List of private schools in attendance area ⇒ Written plan for consultation (if available) ⇒ Meeting notice and agenda ⇒ Certified mail receipts ⇒ Meeting minutes ⇒ Other: _____ <p>NOTE: Cite specific documentation reviewed in Notes/Comments section below</p>
Notes/Comments: _____	
Recommendations: _____	
Initial Finding: _____	Initial Action Needed: _____
<p>4.7 Program has policies in place for safe and appropriate use of the internet, including, but not limited to the following:</p> <ul style="list-style-type: none"> • Compliance with The Children's Internet Protection Act (CIPA)-- designed to block youth' access to obscene or harmful material; For more info on CIPA, see http://www.fcc.gov/guides/childrens-internet-protection-act. 	<ul style="list-style-type: none"> ⇒ Procedures for safe use of the internet and social media (school district policies on file as appropriate) ⇒ Handbook (staff, students/parents) and related training materials ⇒ Parental consent to utilize the Internet/Photo/Web communications ⇒ Agendas, sign-in sheets, minutes from related staff training

<ul style="list-style-type: none"> Compliance with the Children’s Online Privacy and Protection Act; See http://www.ftc.gov/enforcement/rules/rulemaking-regulatory-reform-proceedings/childrens-online-privacy-protection-rule. 	<ul style="list-style-type: none"> ⇒ Documented alignment with school district, charter, or feeder school use and access policies ⇒ Other: <input type="text"/> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>		
Notes/Comments: <input type="text"/>			
Recommendations: <input type="text"/>			
Initial Finding: <input type="text"/>	Initial Action Needed: <input type="text"/>		
<table border="1"> <tr> <td data-bbox="121 751 743 1430"> <p>4.8 Fiscal Agent Organization complies with all 21st CCLC data requests in compliance with state and federal regulations.</p> </td> <td data-bbox="743 751 1500 1430"> <ul style="list-style-type: none"> ⇒ Consolidated Federal Data Collection (CFDC) submission of Grantee Profile and Annual performance Report ⇒ <i>Related Document</i> uploads in the 21st CCLC Funding Application in the Comprehensive Continuous Improvement Plan (CCIP) grants management system ⇒ Documentation of any program performance, attendance, or other evaluative data as requested by NCDPI ⇒ Written response from program to address any compliance concerns disclosed by NCDPI ⇒ Other: <input type="text"/> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p> </td> </tr> </table>		<p>4.8 Fiscal Agent Organization complies with all 21st CCLC data requests in compliance with state and federal regulations.</p>	<ul style="list-style-type: none"> ⇒ Consolidated Federal Data Collection (CFDC) submission of Grantee Profile and Annual performance Report ⇒ <i>Related Document</i> uploads in the 21st CCLC Funding Application in the Comprehensive Continuous Improvement Plan (CCIP) grants management system ⇒ Documentation of any program performance, attendance, or other evaluative data as requested by NCDPI ⇒ Written response from program to address any compliance concerns disclosed by NCDPI ⇒ Other: <input type="text"/> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>
<p>4.8 Fiscal Agent Organization complies with all 21st CCLC data requests in compliance with state and federal regulations.</p>	<ul style="list-style-type: none"> ⇒ Consolidated Federal Data Collection (CFDC) submission of Grantee Profile and Annual performance Report ⇒ <i>Related Document</i> uploads in the 21st CCLC Funding Application in the Comprehensive Continuous Improvement Plan (CCIP) grants management system ⇒ Documentation of any program performance, attendance, or other evaluative data as requested by NCDPI ⇒ Written response from program to address any compliance concerns disclosed by NCDPI ⇒ Other: <input type="text"/> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>		
Notes/Comments: <input type="text"/>			
Recommendations: <input type="text"/>			
Initial Finding: <input type="text"/>	Initial Action Needed: <input type="text"/>		

Strand V. Fiscal Management: 21st CCLC program funds are expended consistent with the approved application, State guidelines, and provisions of 34 CFR § 80 Education Department General Administrative Regulations (EDGAR).

Indicators: The indicators below apply to the following applicable compliance with fiscal requirements.

Indicators	Evidences (Check all that apply and use "Notes/Comments" to add detail)
<p>5.1 The Fiscal Agent Organization has a 21st CCLC fiscal procedures manual and appropriate staff follow the established processes as it relates to the following:</p> <ul style="list-style-type: none"> • Staff sign-in/sign-out • Purchasing program supplies with 21st CCLC funds • Submittal of monthly reimbursement requests in ERaCA (if non-LEA) • Documentation and submittal (if non-LEA) of monthly receipts, proofs of purchase, and other relevant documentation to justify reimbursement requests • Maintaining accurate inventory of 21st CCLC equipment and supplies <p>Notes/Comments: <input type="text"/></p>	<ul style="list-style-type: none"> <input type="checkbox"/> 21st CCLC Fiscal Procedures Manual <input type="checkbox"/> Training materials/documents <input type="checkbox"/> Agendas, sign-in sheets, minutes <input type="checkbox"/> Staff interviews <input type="checkbox"/> Equipment inventory <input type="checkbox"/> 21st CCLC Fiscal Monitoring Report/Results <input type="checkbox"/> Other: <input type="text"/> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>
<p>Recommendations: <input type="text"/></p>	
<p>Initial Finding: <input type="text"/></p>	<p>Initial Action Needed: <input type="text"/></p>
<input type="text"/>	<input type="text"/>
<p>5.2 The fiscal agent organization employs 21st CCLC Program staff, including the Program Director (as appropriate), and incurs 21st CCLC expenses based on what is reasonable, allocable, and necessary to support the goals identified in the approved grant application and annual budget, and in consideration of the number and size of program sites as well as the number and age of students to be served.</p> <p>Notes/Comments: <input type="text"/></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Approved budget <input type="checkbox"/> Staff job description and qualifications <input type="checkbox"/> Number of staff/students <input type="checkbox"/> Number of sites <input type="checkbox"/> Staff roster <input type="checkbox"/> Documentation of other resources (where applicable) <input type="checkbox"/> Other : <input type="text"/> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>

Recommendations: _____	
Initial Finding: _____	Initial Action Needed: _____
<p>5.3 Any non-21st CCLC financial or in-kind resources from private, local, state, or other federal funding utilized to support the 21st CCLC program are disclosed to NCDPI upon request, and if other funding sources are available, the Fiscal Agent Organization clearly demonstrates that 21st CCLC funds are used to <i>supplement</i> and not <i>supplant</i> the level of State, local and other non-Federal funds that would, in the absence of those federal funds, be available to support the program activities.</p>	<p>⇒ Staff interviews-mandatory</p> <ul style="list-style-type: none"> Does the program use 21st CCLC funds to provide services that the (LEA or non-LEA) program provided with nonfederal funds in the prior year? <ul style="list-style-type: none"> If yes, are the non-21st CCLC funds still available? If no, why not? In the absence of 21st CCLC funds, would the service still be provided? Does the program use 21st CCLC funds to provide services that the (LEA or non-LEA) program is already required to make available under other federal, state, or local regulations? <p>⇒ Other: _____</p>
Notes/Comments: _____	
Recommendations: _____	
Initial Finding: _____	Initial Action Needed: _____
<p>5.4 If the Fiscal Agent Organization collects any fees from 21st CCLC students, parents, or participating families, the Fiscal Agent Organization is able to clearly demonstrate the following:</p> <ul style="list-style-type: none"> Any individual fees charged to participating families are minimal in scope and the collection of fees is not a prohibiting factor in any eligible student/family's participation in the 21st CCLC Program; All 21st CCLC application and orientation materials clearly communicate the availability of a sliding income scale to determine fees and/or that full scholarships are available as necessary; <p>AND</p> <ul style="list-style-type: none"> Any 21st CCLC fees collected are re-invested in the operation of the 21st CCLC Program during the same fiscal year. 	<p>⇒ NOT APPLICABLE; No 21st CCLC fees are collected</p> <p>⇒ Documentation of any 21st CCLC fees collected and how those fees are reinvested in the program during the same fiscal year</p> <p>⇒ Application materials/Written explanation of fees (when appropriate)</p> <p>⇒ 21st CCLC Fiscal Procedures Manual</p> <p>⇒ 21st CCLC Fiscal Monitoring Report</p> <p>⇒ Student/Parent Handbook</p> <p>⇒ Student enrollment</p> <p>⇒ Other: _____</p> <p><i>NOTE: Cite specific documentation reviewed in Notes/Comments section below.</i></p>

Notes/Comments: <input type="text"/>	
Recommendations: <input type="text"/>	
Initial Finding: <input type="text"/>	Initial Action Needed: <input type="text"/>

ADDITIONAL NOTES/ QUESTIONS/CONCERNS FOR FISCAL MONITORING:

APPENDIX E **21st Century Community Learning Centers** **Comprehensive Program Monitoring Review Report**

Program Name: _____
Unit Number/Cohort Number: _____/_____
Program Director: _____
Fiscal Agent Organization: _____
Funding Year: ☐ 1st ☐ 2nd ☐ 3rd ☐ 4th **Start Date in Current Fiscal Year:** _____
Total Number of Students to Be Served (per the RFP): _____ **Number of Program Sites:** _____
Date of Monitoring Visit: _____
Site(s) Visited (by Name or Location): _____ **Report Completed by:** _____ **Completion**
Date: _____

Monitoring of the 21st Century Community Learning Centers (21st CCLC) Grant focuses on indicators across common compliance strands in the following areas: Program Management, Program Implementation, Family Engagement, Federal, State and Local Statutes and Fiscal Management. The 21st CCLC Program (LEA/Non-LEA) must respond to all indicators identified with “Findings” by adhering to the “Requested Action Needed” as specified in the report. The State Educational Agency (NCDEP) is required to monitor the quality and effectiveness of the programs operating with funds provided through 21st Century Community Learning Centers (21st CCLC) Grant, as per 34 CFR § 80 (EDGAR). **In order to effectively utilize available State resources, fiscal reviews may be scheduled and conducted at a separate time from the 21st CCLC program monitoring.**

Common Compliance Strands

The 21st CCLC Program is reviewed using the following inter-related compliance strands:

- I. **Program Management.** The 21st CCLC Program must adhere to all requirements, assurances, and certifications as indicated in the 21st CCLC Grant application that was approved by the NC State Board of Education.
- II. **Program Implementation.** The 21st CCLC Program must ensure that planned activities provide students with academic support and enrichment opportunities that complement the instruction provided the students during the regular school day.
- III. **Family and Community Engagement.** The 21st CCLC Program provides participating family members literacy and other educational opportunities aligned to the activities of the students participating in the program.
- IV. **Strand IV: Federal/State/Local Statutes.** The 21st CCLC Program must meet all applicable federal, state, and local regulations, including health, safety and civil rights laws.
- V. **Fiscal Management.** 21st CCLC Program funds are expended consistent with the approved application, State guidelines, and provisions of 34 CFR § 80 Education Department General Administrative Regulations (EDGAR).










Rating Rubric			
Meets Requirements	Finding(s)	Meets Requirements with Recommendations*	NA- Not Applicable
Compliance indicator is 100% met and supported by all required evidence(s). All Required documents are provided and support compliance. Interviews support documentation, processes, and implementation. Compliance is consistent at program level and sites sampled.	Evidence or lack of evidence show compliance indicator has not been met. Incomplete or lack of required documentation. Interviews lack understanding or support of documentation, processes, and implementation. Compliance is inconsistent at program level and sites sampled.	Basic compliance requirements are met; recommendations are provided for improvement.	Accountability standard is not applicable.

**Detailed descriptions of “Findings” and “Recommendations” are included in the Narrative Section of the monitoring report.*

NOTE: Because the methodology of the 21st CCLC monitoring includes sampling, the monitoring process cannot produce an all-inclusive assessment of items in this instrument. The 21st CCLC program is responsible for operating its categorical programs in compliance with all applicable laws and regulations.

Strand I. Program Management. The 21st CCLC Program must adhere to all requirements, assurances, and certifications as indicated in the 21st CCLC Grant application that was approved by the NC State Board of Education.

Indicator	Description	Rating	Response to Finding(s) Rcvd/Apprvd? (NCDPI Use Only)	Final Status (NCDPI Use Only)
1.1	Program primarily serves students that attend Title I-eligible or low poverty schools or feeder schools (http://www.ncpublicschools.org/program-monitoring/titleA/ for more info).			
1.2	Program serves projected number of students or can demonstrate efforts to continually recruit students/families to reach the projected number of program participants according to the approved grant application. Number of projected students per RFP: <input type="text"/> Number of students present on day of visit: <input type="text"/> Total number of students enrolled on day of visit: <input type="text"/>			
1.3	Program schedule is structured to incorporate all proposed activities in the approved grant application. ⇒ Regular school-year program is offered <u>a minimum</u> of 12 hours per week. ⇒ Programs serving year-round feeder schools should identify intersessions as summer program component.			
1.4	Program operates outside of regular school day, including during summer, weekends, and/or through <i>Expanded Learning Time</i> model (see http://www.ncpublicschools.org/docs/21cclc/resources/standards/standards-procedures.pdf , p. 7-8 for definition of Expanded Learning Time).			
1.5	Fiscal Agent Organization has developed staff handbooks and ensured staff have appropriate training regarding the following areas (at a minimum) as it relates to the 21 st CCLC Program and in accordance with state and federal guidance:			

	<ul style="list-style-type: none"> • Daily operation (including arrival and dismissal process); • Building/Student safety; • Personnel procedures (including process for documenting staff hours); • Instructional planning and effective teaching practices; and • Allowable uses and process to expend 21st CCLC funds (for appropriate staff). 			
1.6	Fiscal Agent Organization and/or program creates and disseminates information to build awareness in the community about the 21 st CCLC Program and attempts to garner support and resources for sustainability beyond the grant period.			
1.7	Fiscal Agent Organization and/or program staff demonstrates effort to maintain effective communication with feeder schools to support student academic and/or social progress.			
1.8	Fiscal Agent Organization and/or program management uses informal and formal data/evaluation results to refine or improve upon the program's efforts to achieve its goals in the approved grant proposal.			

Strand II. Program Implementation. The 21st CCLC Program must ensure that planned activities provide students with academic support and enrichment opportunities that complement the instruction provided the students during the regular school day.

Indicator	Description	Rating	Response to Finding(s) Rcvd/Apprvd? (NCDPI Use Only)	Final Status (NCDPI Use Only)
2.1	Student program activities focus on a minimum of reading/language arts and mathematics in alignment with the NC Standard Course of Study.			
2.2	The program is designed to support all students through a varied use of instructional methods and activities, including the use of diverse reading materials, technology, or other resource materials that stimulate student interest.			
2.3	Instructional materials and methods align to the appropriate age, grade, ability level, and needs of the students.			
2.4	The program offers services, programs, and activities, such as youth development activities, drug and violence prevention programs, counseling programs, art, music, and recreation programs, technology education programs, and character education programs, that are designed to reinforce and complement the regular academic program of participating students.			
2.5	Program staff receives appropriate individual or group professional development on an ongoing basis as needed to support instructional planning and effective teaching practices.			
2.6	Ongoing review of student social and academic progress as well as periodic assessments of student work is used to inform and refine program activities and lesson plans			
2.7	Program Director (or Fiscal Agent Organization designee) maintains ongoing communication with staff to ensure program activities are coordinated and delivered in accordance with the final approved application and is based on effective practices.			

Strand III: Family Engagement. The 21st CCLC Program provides participating family members literacy and other educational opportunities aligned to the activities of the students participating in the program.

Indicator	Description	Rating	Response to Finding(s) Rcvd/Apprvd? (NCDPI Use Only)	Final Status (NCDPI Use Only)
3.1	<p>The program provides participating parents and families educational opportunities. Related activities might include but are not limited to the following:</p> <ul style="list-style-type: none"> • Student academic support; • Student performance; • GED classes; • Social/government resources; • Family literacy; • Financial literacy. 			
3.2	<p>Program provides a 21st CCLC (group or individual) parent orientation and parent /student handbook that address the following areas at a minimum:</p> <ul style="list-style-type: none"> • Purpose/Goals of the 21st CCLC Program; • Enrollment process; • Attendance expectations; student check-in/check-out process; • Student behavior expectations; and • Transportation arrangements. 			
3.3	<p>Established procedures and/or policies are implemented regarding communication with non-English speaking and/or illiterate parents as applicable.</p>			
3.4	<p>Established procedures and/or policies are implemented regarding the frequency and content of communication and educational services provided to parents and families of 21st CCLC children.</p>			

Strand IV: Federal/State/Local Statutes. The 21st CCLC Program must meet all applicable federal, state, and local regulations, including health, safety and civil rights laws.

Indicator	Description	Rating	Response to Finding(s) Rcvd/Apprvd? (NCDPI Use Only)	Final Status (NCDPI Use Only)
4.1	<p>Program operates in a facility that meets state, local, and/or federal safety guidelines.</p> <p>For information regarding NC building and fire codes, see http://www.ncdoi.com/OSFM/</p> <p>OR</p> <p>http://ecodes.biz/ecodes_support/free_resources/2012NorthCarolina/Fire/12NC_Fire.html.</p>			
4.2	<p>Criminal background checks are completed for each program employee, including the Program Director and volunteers, prior to employment; record checks include at least the last 3 years (see 21st CCLC Policies and Procedures Manual, http://www.ncpublicschools.org/21cclc/resources/standards/).</p>			
4.3	<p>Program staff receive 21st CCLC Staff handbook and related training regarding student and staff safety procedures, includes the following information (at a minimum):</p> <ul style="list-style-type: none"> • Emergency/critical incident plans, including evacuation plans; • Basic first aid; • Emergency contact information; • Student departure and arrival, including approved parents/guardians to pick-up students; <p>and</p> <ul style="list-style-type: none"> • Mandatory reporting of suspected child abuse and neglect. <p>For more info, see https://www.childwelfare.gov/systemwide/laws_policies/statutes/mandate.cfm , or for NC, specifically, see http://www.ncga.state.nc.us/EnactedLegislation/S</p>			

	tatutes/HTML/BySection/Chapter_7B/GS_7B-301.html.			
4.4	Policies/procedures are in place to ensure that students are transported safely to and from the program site (as appropriate).			
4.5	Policies and/or procedures on student conduct and discipline are clearly communicated to students, parents, and staff and related procedures are implemented consistently.			
4.6	<p>During the development of the grant proposal, the Fiscal Agent Organization engaged in timely and meaningful consultation with private school officials in the program's attendance zone to ensure that eligible private school children and their teachers or other educational personnel are provided with equitable services or other benefits under the 21st CCLC program.</p> <p>OR</p> <p>After the initial grant award year, the Fiscal Agent Organization notifies the private school officials in the program's attendance zone on an annual basis to inform them of the 21st CCLC services available to private school students.</p> <p>For more regarding consultation with private schools, see http://www2.ed.gov/policy/elsec/leg/esea02/pg111.html.</p>			
4.7	<p>Program has policies in place for safe and appropriate use of the internet, including, but not limited to the following:</p> <ul style="list-style-type: none"> • Compliance with The Children's Internet Protection Act (CIPA)-- designed to block youth' access to obscene or harmful material; For more info on CIPA, see http://www.fcc.gov/guides/childrens-internet-protection-act . • Compliance with the Children's Online Privacy and Protection Act; See http://www.ftc.gov/enforcement/rules/rulemaking-regulatory-reform-proceedings/childrens-online-privacy-protection-rule. 			
4.8	Fiscal Agent Organization complies with all 21 st CCLC data requests in compliance with state and federal regulations.			

Strand V: Fiscal Management. 21st CCLC Program funds are expended consistent with the approved application, State guidelines, and provisions of 34 CFR § 80 Education Department General Administrative Regulations (EDGAR).

Indicator	Description	Rating	Response to Finding(s) Rcvd/Apprvd? (NCDPI Use Only)	Final Status (NCDPI Use Only)
5.1	<p>The Fiscal Agent Organization has a 21st CCLC fiscal procedures manual and appropriate staff follow the established processes as it relates to the following:</p> <ul style="list-style-type: none"> • Staff sign-in/sign-out; • Purchasing program supplies with 21st CCLC funds; • Submittal of monthly reimbursement requests in ERaCA (if non-LEA); • Documentation and submittal (if non-LEA) of monthly receipts, proofs of purchase, and other relevant documentation to justify reimbursement requests; <p>and</p> <ul style="list-style-type: none"> • Maintaining accurate inventory of 21st CCLC equipment and supplies. 			
5.2	<p>The Fiscal Agent Organization employs 21st CCLC Program staff, including the Program Director (as appropriate), and incurs 21st CCLC expenses based on what is reasonable, allocable, and necessary to support the goals identified in the approved grant application and annual budget, and in consideration of the number and size of program sites as well as the number and age of students to be served.</p>			
5.3	<p>Any non-21st CCLC financial or in-kind resources from private, local, state, or other federal funding utilized to support the 21st CCLC program are disclosed to NCDPI upon</p>			

	request, and if other funding sources are available, the Fiscal Agent Organization clearly demonstrates that 21 st CCLC funds are used to <i>supplement</i> and not <i>supplant</i> the level of State, local and other non-Federal funds that would, in the absence of those federal funds, be available to support the program activities.			
5.4	<p>If the Fiscal Agent Organization collects any fees from 21st CCLC students, parents, or participating families, the Fiscal Agent Organization is able to clearly demonstrate the following:</p> <ul style="list-style-type: none"> Any individual fees charged to participating families are minimal in scope and the collection of fees is not a prohibiting factor in any eligible student/family's participation in the 21st CCLC Program; All 21st CCLC application and orientation materials clearly communicate the availability of a sliding income scale to determine fees and/or that full scholarships are available as necessary; and Any 21st CCLC fees collected are re-invested in the operation of the 21st CCLC Program during the same fiscal year. 			

If there were indicators identified with “finding(s)” or “meets requirements with recommendations,” additional information will be provided in the Comprehensive Monitoring Report Narrative to follow. If all indicators are identified with “meets requirements,” no narrative will be provided.

The Comprehensive Program Monitoring Report Narrative will begin on next page (as necessary).

**21st Century Community Learning Centers
Comprehensive Program Monitoring Report Narrative**

IF THE INDICATOR IS MARKED “FINDING(S),” THE NARRATIVE WILL BE WRITTEN IN THE FOLLOWING FORMAT:

Strand **(Strand number and description identified in the blank to the left)**

Indicator : **(Indicator number and description will be identified in the blank to the left)**

FINDING:

REQUIRED ACTION:

PROGRAM RESPONSE TO FINDING (must be within 10 business days of receipt of this report):

Text box highlighted in yellow denotes required field for program response. To enter text, type directly into the gray text box, which will expand as data is entered. Additional documents to support the program’s narrative response may be sent to NCDPI as attachments as necessary.

IF THE INDICATOR IS MARKED “MEETS REQUIREMENTS WITH RECOMMENDATIONS,” THE NARRATIVE WILL BE WRITTEN IN THE FOLLOWING FORMAT:

Strand **(Strand number and description identified in the blank to the left)**

Indicator : **(Indicator number and description will be identified in the blank to the left)**

MEETS REQUIREMENTS WITH RECOMMENDATIONS:

NO PROGRAM RESPONSE IS REQUIRED.

NOTE: The overarching compliance strand (1-5) will only be identified once. If there are multiple indicators identified with “Findings” or “Meets Requirements with Recommendations” within one strand, those indicators will be listed under the same singular (strand) heading.

APPENDIX F Instrument vs. Report Guide

As you preview the 21st Century Community Learning Centers (CCLC) Comprehensive Monitoring Instrument and Comprehensive Monitoring Report documents, here are a few important points to consider regarding their utility and purpose:

- Although the local 21st CCLC program will find the document a useful resource, the 21st CCLC Comprehensive Monitoring Instrument is actually designed for the NCDPI's utility.
- The items listed under "Evidences" for each indicator serve as simple checklists to help the 21st CCLC Program Administrators from NCDPI note the different samples of documentation he or she observes to determine the program's compliance status for that indicator.
- The list of evidences is not meant to be exhaustive; programs are not required or expected to have sample documents for every item listed. Rather, the local program should focus more on the indicator itself and be able to provide whatever relevant and compelling documentation is available to demonstrate compliance for that indicator.
- At the end of the onsite visit, the NCDPI Program Administrator will hold a closure conference with the Program Director (or designee) of the local program to seek additional information as necessary and to provide a broad verbal summary of the results.
- The instrument is simply the tool the NCDPI Program Administrator uses to capture the sample documentation viewed or collected during the visit only; the monitored program does not receive a copy of the completed instrument after the visit.
- Within 30 business days of the visit, the monitored program receives a copy of the **21st CCLC Comprehensive Program Monitoring Report**, which offers a formal summary of the compliance results for each indicator.
- If there any compliance indicators identified with "Finding(s)," the monitored program must respond within ten (10) business days of receipt of the report regarding each item listed as "Required Action(s)." For each "Required Action," the program must provide a written plan to address the compliance concern, specifically stating what actions will be taken, identifying staff responsible for implementation, and providing a projected timeline to improve or correct the status of the compliance indicator in question.
- The program is not required to respond to indicators marked as "meets requirements with Recommendations." That descriptor is used to document that basic compliance for the indicator has been met, but with specific suggestions for improvement.

APPENDIX G
Comprehensive Program Monitoring Review
Closing Letter Template

DATE (mm/dd/yyyy)

Mr. /Ms. /Dr. Education Public
2Education Is Everything, Inc.
21stCCLC Rock and Roll, Unit XY
2011 Someplace Drive
Raleighandbeyond, NC 27000

Dear Mr. /Ms. /Dr. Public:

The [PROGRAM NAME] 21st Century Community Learning Centers (CCLC) Program has successfully met all federal and state statutory compliance requirements related to the comprehensive monitoring visit conducted by the North Carolina Department of Public Instruction conducted on DATE (mm/dd/yyyy).

Thank you for working closely with your 21st CCLC Program Administrator(s) to provide a quality academic enrichment program and extended learning opportunities for the youth and families in your community. The State 21st CCLC Team looks forward to our continued support of your program toward meeting its goals.

Sincerely,

Donna R. Brown, Director

DRB:sm

c: 21st CCLC Fiscal Agent
21st CCLC Administrative Assistant

APPENDIX H
Comprehensive Program Monitoring Review
Cover Letter for Report with Compliance Finding-Template

Date (dd/mm/yyyy)

Mr./Ms./Dr. Education Public
Education Is Everything, Inc.
21stCCLC Rock and Roll, Unit XY
2011 Someplace Drive
Raleighandbeyond, NC 27000

Dear Mr./Ms./Dr. Public:

The North Carolina Department of Public Instruction (NCDPI) conducted an on-site compliance review of the 21stCCLC Rock and Roll, Unit XY, on Date (dd/mm/yyyy). Enclosed is the monitoring report which documents the results of the federal program review. The monitoring visit included an examination of program files, accounting information, and interviews with your program staff.

The 21st CCLC Program Director or designee must respond within ten (10) business days of receipt of this report regarding each item identified for "Required Action(s)." For each "Required Action," the program must provide a written plan of correction, specifically stating what actions will be taken, identifying staff responsible for implementation, and providing a projected timeline to improve or correct the status of the identified compliance concern. Send the completed responses to NCDPI via email attachment to 21st CCLC Program Administrator Deborah Prickett (Ed Bell, Johanna, Tammorah, etc.) at XXXX@dpi.nc.gov (of course, edit email address as necessary) and also forward a copy to Administrative Assistant Sylvia Moore at sylvia.moore@dpi.nc.gov.

Thank you for your continued efforts in supporting North Carolina's school-aged children and their families. If you need additional assistance with this report, please contact your 21st CCLC Program Administrator in time to meet the deadline for response.

Sincerely,

Donna R. Brown, Director

DRB/sm

c: 21st CCLC Program Administrator
Fiscal Agent Organization Chief Administrator

Enclosures

APPENDIX I
21st Century Community Learning Centers
Sub-Grantee Program Monitoring Tracking Form

Sub-Grantee Name:

Unit Number/Cohort:

21st CCLC Program Administrator Name:

Activity	Date	Initial	Comments*
Notification of Monitoring Review (if applicable)			
On-site Review Completed			
Monitoring Report Sent			
Responses Due (10 days)			Document if response exceeds 10 days
NCDPI Provided Corrective Feedback to Sub-Grantee Response (if applicable)			Document if sub-grantee was required to supplement initial response to satisfy compliance
Closing Letter Sent			
PQR Date of Review (if applicable)			
PQR Report Sent (if applicable)			

NOTE:

- 1) Monitoring reviews may be conducted as announced or unannounced.
- 2) PQRs completed as needed to ensure findings are resolved.
- 3) Provide additional comments/documentation as needed.
- 4) Sub-grantee may request an extension for the required response, but must provide adequate rationale for such requests.
- 5) Submit to 21st CCLC Section Chief once all data is complete.
- 6) Once the 21st CCLC Section Chief signature is secured, form should be scanned and e-filed in "Report" subfolder in Dropbox file reserved for the sub-grantee.

Signature (21st CCLC Section Chief): _____ **Date:** _____

APPENDIX J

Dropbox Monitoring Folder: What Files Go Where?

A. Planning

- ? Email or letter regarding upcoming visit*
- ? Any messages about change in schedule
- ? Tracking Form draft (Word)*
- ? Previous report (if relevant)
- ? Program /Attendance profile data/ background
- ? Pdf of RFP (optional)

B. Field Work

- ? Monitoring Instrument*
- ? Any relevant raw data not documented in report* (should be minimal)
- ? Requests for more data prior to report as needed

C. Report

- ? Report draft (Word)* /Report final (pdf)*
- ? Report cover letter draft (Word)* / Report cover letter-signed (pdf)*
- ? "Required Action" response (from program) if needed*
- ? "Result of Program Response" memo draft (Word)/ signed (pdf)*
- ? Closing Letter draft (Word)/Closing Letter-Final (pdf)*
- ? Tracking Form-Final* (pdf)
- ? Related email

D. Other-Post Visit/ Miscellaneous

- ? Any post monitoring visit data shared (after closing letter)
- ? Sample brochures/ /processes/docs, etc. unique to program not related to visit
- ? Other?

Appendix K
21st Century Community Learning Centers (CCLC) Non-LEA Fiscal Review
Monitoring Instrument and Report

Organization Name	Organization Code	DPI Program Administrator	
School(s)/Site(s)	School Code	21st CCLC Director	
NCDPI Reviewer	Review Date	Met With	
Item	Compliant/Not Compliant/ Not Reviewed/ N/A	Comments (C)/Recommendations (R)	NCDPI-Required Corrective Action(s)
Do the program's financial management systems provide for effective control over and accountability for grant funds, property, and other assets and ensure they are used solely for authorized purposes?			
Procedures (2 CFR Part 200.403-405)			
<ul style="list-style-type: none"> Review the grantee procedures insuring all costs are reasonable and necessary, allocable, properly documented, consistent with grant programs, not used for cost-sharing, and legal under state and local law. 			
General Procurement Standards (2 CFR Part 200.318)			
Sample/document the grantee procurement procedures to include, but not necessarily limited to: rationale for the method of procurement, selection of contract type, contractor selection/rejection, basis for contract price. (Sample of procurement)			

Indirect Cost Rates	Limit for Non-LEA is 3.776%		
<ul style="list-style-type: none"> Indirect cost rates are calculated by NC DPI and communicated to grantees on an annual basis. 			
<ul style="list-style-type: none"> Has the grantee spent no more than the calculated indirect cost? 			
Payroll			
<ul style="list-style-type: none"> Are all employees involved in the project completing required payroll certification? (A cost objective is a specific grant award.) 	See Payroll testing tab		
<ul style="list-style-type: none"> An employee who works on a single cost objective must certify at least semi-annually the percentage of time he/she works on the activity. 			
<ul style="list-style-type: none"> An employee who works on separate funding codes or multiple cost objectives must certify at least monthly coinciding with one or more pay periods the percentage of time he/she works on the activity. 			
<ul style="list-style-type: none"> Employee(s) should not indicate time on timesheets when school is not in session and/or students are not being served, e.g., Winter or Spring breaks, holidays. 			
<ul style="list-style-type: none"> Examine job descriptions and the relationship to payroll records. Do job descriptions describe duties and responsibilities that are reflected in the distribution of wage and appear to be of benefit to the grant? 			
Budget			
<ul style="list-style-type: none"> Has the grantee made changes to the budget that required prior approval before receiving such approval in writing? 			
Equipment			
<ul style="list-style-type: none"> Identify all equipment purchases made with funds. Property records must be maintained. 			
<ul style="list-style-type: none"> All technology expenses required pre-approval from NC DPI (inventoried) 			

• Is the location of equipment known? Ensure the equipment is in the noted location.			
• An inventory of equipment purchased with grant funds must be conducted once every 1-2 years and reconciled with property records.			
Transactions			
Select a sample of transactions to verify that the grantee has appropriate documentation to support the selected transactions.	See Expenditure Testing Tab		
• Documentation should include check stub, requisition (if required), invoice, receipts. Should be dated with initials of Director/Manager, and relevant account code.			
• Invoices should contain amounts that match frequency stated in contracts, and clearly state the product/services rendered.			
• Proof of Payment includes cancelled checks (front/back), bank statements, credit/debit card statements.			
• General ledger coding associated with the transaction should be readily available, and should be matched to the budget.			
Appropriate approving signatures should be on the documents.			
Does the organization have more than one operating program? If yes, ensure the funds in support of the identified program are used only for that program.			
Gas receipts should include vehicle #s or license plates.			
Receipts and invoices should have approval signature, date of approval and account code.			
General (NC DPI Fiscal and Program Guidance)			

Grant funds must only be used to supplement, not supplant, any federal, state or local dollars available to support activities allowable under the 21st CCLC program.			
Guidelines allow student incentives with no intrinsic value (i.e., less than \$25, school supply-type items). Expenses must be in the budget.			
Staff and parental meetings/training that offered snacks purchased with grant funds should be documented with copies of sign-in forms.			
Review any leases. Leases should not exceed one year.			
• Does the organization have more than one operating program?			
• If yes, ensure the funds in support of the identified program are used only for that program.			
☐ Does the organization charge fees to students?			
• If yes, the organization must have written approval from NC DPI.			
Number of students enrolled.			
Number and name of sites.			
Prior Surveys			
Have financial findings or weaknesses been identified during previous surveys?			
• If yes, and time permits, review the previous survey(s) with appropriate personnel. Has the program addressed or is in the process of addressing the identified findings?			
Revised 3/9/18			

Appendix L
Program Quality Reviews (ALL)
21st CCLC Family Involvement

Program			
Grantee Name:		Unit Number:	
County:		Phone Number	
Fiscal Address:		Program Director:	
Program Site(s) Visited:		Total Number of Students To Be Served:	
Dates of Operation:		Total Number Counted on Date of Visit	
Date of Visit:		VISIT CONDUCTED BY:	

Feedback
Commendations:
Concerns:
Recommendations:

I. Parent Communication: Does the program provide parents with regular communication about the participation and progress of students?		
Quality Requirement	Quality Indicators	Comments
Procedures and/or policies are in place that describes the frequency and content of communication with parents, families, and the community.	<p>How does the program communicate with families and the community?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Parent/family involvement plan/handbook in parent-friendly language <input type="checkbox"/> Communication plans <input type="checkbox"/> Communication logs and instruments <input type="checkbox"/> Advertisements, announcements, and public notices about the center's operations to community members 	
Procedures and/or policies are in place for communication with non-English speaking and/or illiterate parents.	<p>What strategies are in place for communicating with non-English speaking and/or illiterate parents?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Samples of parent communication <input type="checkbox"/> Written policies/procedures for staff training <input type="checkbox"/> Evidence of staff training 	
Progress reports are provided to parents, which include assessment data that is consistent with the expected student outcomes.	<p>How does the program communicate expected outcomes and any progress made by the students?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Samples of parent communications <input type="checkbox"/> Student education plans 	
II. Family Involvement: Does the program engage parents and families as described in the State-approved application?		
Quality Requirement	Quality Indicators	Comments
The center provides a welcoming environment for parents.	<p>How does the program ensure that parents feel welcomed?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Signs directing parents to building for students <input type="checkbox"/> Evidence of parent sessions (e.g., agendas, sign-in sheets, materials) <input type="checkbox"/> Evidence of staff training on the value of parent involvement 	

<p>The program plan includes outreach strategies to support the involvement of parents and families.</p>	<p>How does the program ensure that communication with parents is clear and concise?</p> <ul style="list-style-type: none"> ☐ Sample communications that include specific information in what they ask of parents (e.g., dates and times of events when the parent can be involved) ☐ Evidence of parent meetings (e.g., schedule for orientation sessions/open house, agendas, sign-in sheets) ☐ Evidence of staff training to support parent outreach plans 	
<p>The program provides participating family members literacy and other educational opportunities aligned to activities of the students participating in the program.</p>	<p>What type of training is provided for parents and families?</p> <ul style="list-style-type: none"> ☐ Schedule of parent/family activities ☐ Participant materials ☐ Sign-in sheets/agendas of meetings/training sessions 	

**Program Quality Review
21st CCLC Fiscal Management**

Program			
Grantee Name:		Unit Number:	
County:		Phone Number	
Fiscal Address:		Program Director:	
Program Site(s) Visited:		Total Number of Students To Be Served:	
Dates of Operation:		Total Number Counted on Date of Visit	
Date of Visit:		VISIT CONDUCTED BY:	

Feedback
Commendations:
Concerns:
Recommendations:

What processes are in place to ensure that 21 st CCLC program funds are expended consistent with the approved application and provisions of Education Department General Administrative Regulations (EDGAR)?		
Quality Requirement	Quality Indicators	Comments
Programs funds are expended to ensure that activities supplement and not supplant activities supported with other Federal, State, or local funds.	What fund sources support the 21 st CCLC program? <input type="checkbox"/> Approved budget <input type="checkbox"/> Invoices for purchases <input type="checkbox"/> Contracts <input type="checkbox"/> Receipts <input type="checkbox"/> Equipment inventory <input type="checkbox"/> Payroll and accounting records <input type="checkbox"/> Rental/lease agreements	
Purchases for equipment, contracts, travel, supplies materials, and indirect cost reflect project description in the approved application.	Does the program ensure that 21 st CCLC funds are dedicated to 21 st CCLC activities? <input type="checkbox"/> Approved application and approved programmatic amendments <input type="checkbox"/> Approved budget <input type="checkbox"/> Invoices for purchases <input type="checkbox"/> Contracts <input type="checkbox"/> Receipts <input type="checkbox"/> Equipment inventory <input type="checkbox"/> Certified payroll and accounting records <input type="checkbox"/> Rental/lease agreements <input type="checkbox"/> Records to support expenditures for indirect cost <input type="checkbox"/> Bank statements reconciled to general ledger	
Personnel services/salaries are supported with personnel records and activity reports.	How does the program document time and effort of staff paid with 21 st CCLC funds? <input type="checkbox"/> Personnel records and activity reports <input type="checkbox"/> Certified payroll statements/records <input type="checkbox"/> Written job descriptions/duties <input type="checkbox"/> Schedules to support effort of staff <input type="checkbox"/> Organizational charts	

	<input type="checkbox"/> Process for reconciliation (if needed)	
Program maintains appropriate equipment inventory records.	<p>What is the process for the purchase and inventory of equipment?</p> <input type="checkbox"/> Equipment inventory <input type="checkbox"/> Equipment rental/lease agreements <input type="checkbox"/> Equipment disposition process	
Program maintains appropriate records to reflect efforts for sustainability beyond the period of the approved grant.	<p>Has the program made sufficient progress on its sustainability plan?</p> <input type="checkbox"/> Written sustainability plan <input type="checkbox"/> Evidence of segregation of duties <input type="checkbox"/> Evidence of outreach efforts to establish/maintain supportive partnerships <input type="checkbox"/> Fiscal records to support sustainability plans (e.g., records of matching and/or in-kind contributions in third or fourth year of implementation, commitments of support, etc.)	
If for-profit, program demonstrates that income received for the program is being used for the 21 st CCLC programs during the grant period.	<p>If for-profit, how does the program account for income and its use for the 21st CCLC program?</p> <input type="checkbox"/> Approved application and approved programmatic amendments <input type="checkbox"/> Approved budget <input type="checkbox"/> Invoices for purchases <input type="checkbox"/> Contracts <input type="checkbox"/> Receipts <input type="checkbox"/> Equipment inventory <input type="checkbox"/> Certified payroll and accounting records <input type="checkbox"/> Rental/lease agreements	

**Program Quality Review
21st CCLC Health and Safety**

Program			
Grantee Name:		Unit Number:	
County:		Phone Number	
Fiscal Address:		Program Director:	
Program Site(s) Visited:		Total Number of Students To Be Served:	
Dates of Operation:		Total Number Counted on Date of Visit	
Date of Visit:		VISIT CONDUCTED BY:	

Feedback
Commendations:
Concerns:
Recommendations:

Federal State, and Local Health, Safety and Civil Rights Laws: How does the 21 st CCLC programs ensure that all applicable federal, state, and local health, safety and civil rights laws are met?		
Quality Requirement	Quality Indicators	Comments
Program is implemented in a safe and easily accessible facility.	<p>If the program is not located in a school, is the facility safe and easily accessible for students?</p> <ul style="list-style-type: none"> ☐ Safety inspection reports such as fire inspection are current ☐ Emergency plans/procedures ☐ Student transportation plans 	
Staff receives training on procedures and policies for the 21 st CCLC organization as it relates to student health, safety, and civil rights laws.	<p>What training was provided regarding the organization's policies and procedures to ensure student safety?</p> <ul style="list-style-type: none"> ☐ Written policies/procedures ☐ Emergency plans/procedures ☐ Agendas, sign-in sheets, and materials for training 	
Policies/procedures are in place to ensure students arrive and depart safely from the program site.	<p>What process is in place to ensure that students arrive and depart safely?</p> <ul style="list-style-type: none"> ☐ Written policies/procedures ☐ Logs of student drop-off and or pick-up authorization ☐ Transportation records ☐ Communication with schools and parents regarding procedures 	
Program's site coordinator or designee assumes responsibility for students after the delivery of services and remains until all participants are picked up by an authorized person.	<p>How are job responsibilities communicated to staff to ensure safety of students?</p> <ul style="list-style-type: none"> ☐ Program schedules ☐ Job descriptions ☐ Written policies/procedures 	

Policies and/or procedures are in place on student conduct and discipline.	<p>What happens when students misbehave?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Written policies/procedures <input type="checkbox"/> Evidence of communication with parents <input type="checkbox"/> Student records 	
Students' emergency contact information is readily available.	<p>What procedures are in place to ensure contact information is updated and accessible to all staff?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Student records <input type="checkbox"/> Communication with parents 	
Staff understands emergency preparedness procedures.	<p>What is the process for an emergency evacuation?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Emergency plans/procedures <input type="checkbox"/> Agendas, sign-in sheets, and materials for staff training 	
If using the Internet, policies and/or procedures are in place to prohibit the transmission of any material in violation of any U.S. or State regulation or school board policy, including, but not limited to, copyrighted, threatening, or obscene material.	<p>How do written policies address the transmission of materials?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Written policies <input type="checkbox"/> Agendas, sign-in sheets, and materials for staff training 	
If students use a school computer to access information, there is evidence that the program complies with all school and/or district policies and procedures regarding computer and/or Internet use.	<p>What policies and procedures ensure that students use the Internet safely?</p> <ul style="list-style-type: none"> <input type="checkbox"/> School/district internet policy <input type="checkbox"/> Program policies/procedures for monitoring student use <input type="checkbox"/> Agendas, sign-in sheets, and materials for staff training 	

<p>Provider has obtained parental consent for e-mail and/or Internet communication with students under the age of 13 in compliance with Title XIII – Children’s Online Privacy Protection Act of 1998.</p>	<p>If students under the age of 13 use the Internet, has the program obtained the required permission forms from parents?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Student records <input type="checkbox"/> Signed permission forms 	
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**Program Quality Review
21st CCLC Program Implementation**

Program			
Grantee Name:		Unit Number:	
County:		Phone Number	
Fiscal Address:		Program Director:	
Program Site(s) Visited:		Total Number of Students To Be Served:	
Dates of Operation:		Total Number Counted on Date of Visit	
Date of Visit:		VISIT CONDUCTED BY:	

Feedback
Commendations:
Concerns:
Recommendations:

Program Implementation: 21st CCLC programs must ensure that programs are implemented that provide students with academic enrichment opportunities that complement students' regular academic programs.

Quality Requirement	Quality Indicators	Comments
Student learning activities and materials focus on English language arts, mathematics, and/or science aligned to State and local standards.	<p>Are program plans and materials focused on academic enrichment aligned to State standards?</p> <ul style="list-style-type: none"> ☐ Activity plans and materials ☐ Samples of student work 	
A high-level of student engagement is maintained through the use of books, materials, or other resources that stimulate student interest.	<p>How does the program plan ensure a high level of student engagement?</p> <ul style="list-style-type: none"> ☐ Evidence of activities for students to learn in different environments and under different activity structures ☐ Opportunities to engage in independent learning ☐ Opportunities to engage in interactive, group-based activities 	
Ongoing student assessments are utilized to determine individual student growth.	<p>How are the students assessed to ensure student goals are met?</p> <ul style="list-style-type: none"> ☐ Sample assessments ☐ Sample assessment procedures ☐ Samples of student work 	
Staff provides consistent verbal and/or written feedback to students on what they are learning.	<p>How do students know if they are successful?</p> <ul style="list-style-type: none"> ☐ Samples of written student feedback ☐ Staff training sessions focused on procedures for student feedback 	
Instructional materials and methods align to the needs/levels of the student demonstrated by student assessment information.	<p>How do academic enrichment activities enhance social, emotional, and physical well-being of participating students?</p>	

	<ul style="list-style-type: none"> ☐ Evidence of opportunities to engage in learning activities away from the program site ☐ Student interest surveys ☐ Opportunities to engage in peer mentoring, service activities, community based projects, or internships (for older participants) 	
Program maintains ongoing training and communication with staff to ensure program activities are coordinated and delivered in accordance with the final approved application/amendment and aligned to the needs assessment.	<p>How is staff trained to ensure fidelity of program activity implementation?</p> <ul style="list-style-type: none"> ☐ Training session agendas/sign-in sheets ☐ Opportunities for staff feedback for program implementation 	

**Program Quality Review
21st CCLC Program Management**

Program			
Grantee Name:		Unit Number:	
County:		Phone Number	
Fiscal Address:		Program Director:	
Program Site(s) Visited:		Total Number of Students To Be Served:	
Dates of Operation:		Total Number Counted on Date of Visit	
Date of Visit:		VISIT CONDUCTED BY:	

Feedback
Commendations:
Concerns:
Recommendations:

I. Student Participants: Does the program enroll and serve students as described in the State-approved application.		
Quality Requirement	Quality Indicators	Comments
Program primarily serves students that attend schoolwide programs.	How does the program communicate with schools? <input type="checkbox"/> Attendance records <input type="checkbox"/> Evidence of communication with schools	
Program serves projected number of students or can demonstrate practices that will result in serving projected number of students.	What strategies are in place for meeting/maintaining attendance goals? <input type="checkbox"/> Marketing materials <input type="checkbox"/> Enrollment procedures	
Program schedule demonstrates operational days/hours sufficient to meet its measurable goals and objectives.	Is the program of size/scope sufficient to meet program goals? <input type="checkbox"/> Program goals <input type="checkbox"/> Program schedules <input type="checkbox"/> Program activities	
Staffing: Does the program employ and train staff as described in the State-approved application?		
Quality Requirement	Quality Indicators	Comments
Program has process for recruiting, hiring, and retaining high-quality staff including volunteers.	How does the program ensure that high-quality staff is hired sufficient to support the program goals? <input type="checkbox"/> Director job description <input type="checkbox"/> Criminal background checks <input type="checkbox"/> Employee time and effort documents <input type="checkbox"/> Volunteer records	
The program's management system displays open communication,	What type of training is provided for staff? <input type="checkbox"/> Organizational chart	

expectations, and clearly defined duties and responsibilities of team members.	<input type="checkbox"/> Training manuals <input type="checkbox"/> Sign-in sheets/agendas of meetings/training sessions	
Program disseminates information about the community learning center, including its locations to the community, in a manner that is understandable and accessible.	How is information about the community learning center disseminated to the community? <input type="checkbox"/> Sample communication materials to the community <input type="checkbox"/> Evidence of dissemination to community	
Program is developed and carried out in active collaboration with the schools the students attend.	How does staff communicate and collaborate with schools? <input type="checkbox"/> Evidence of communication with schools <input type="checkbox"/> Evidence of active collaboration with schools	
Program uses evaluation results to refine, improve, and strengthen the program or activity; and to refine the performance measures. Evaluation results are made available to the public upon request.	How are the results of program evaluations used and made available to the public? <input type="checkbox"/> Standards of Excellence Self-assessment results <input type="checkbox"/> Data including surveys used for evaluations <input type="checkbox"/> External evaluation results <input type="checkbox"/> Evidence of dissemination of results <input type="checkbox"/> Evidence of program improvements based on results	